

Terminal Evaluation Report

2014 May

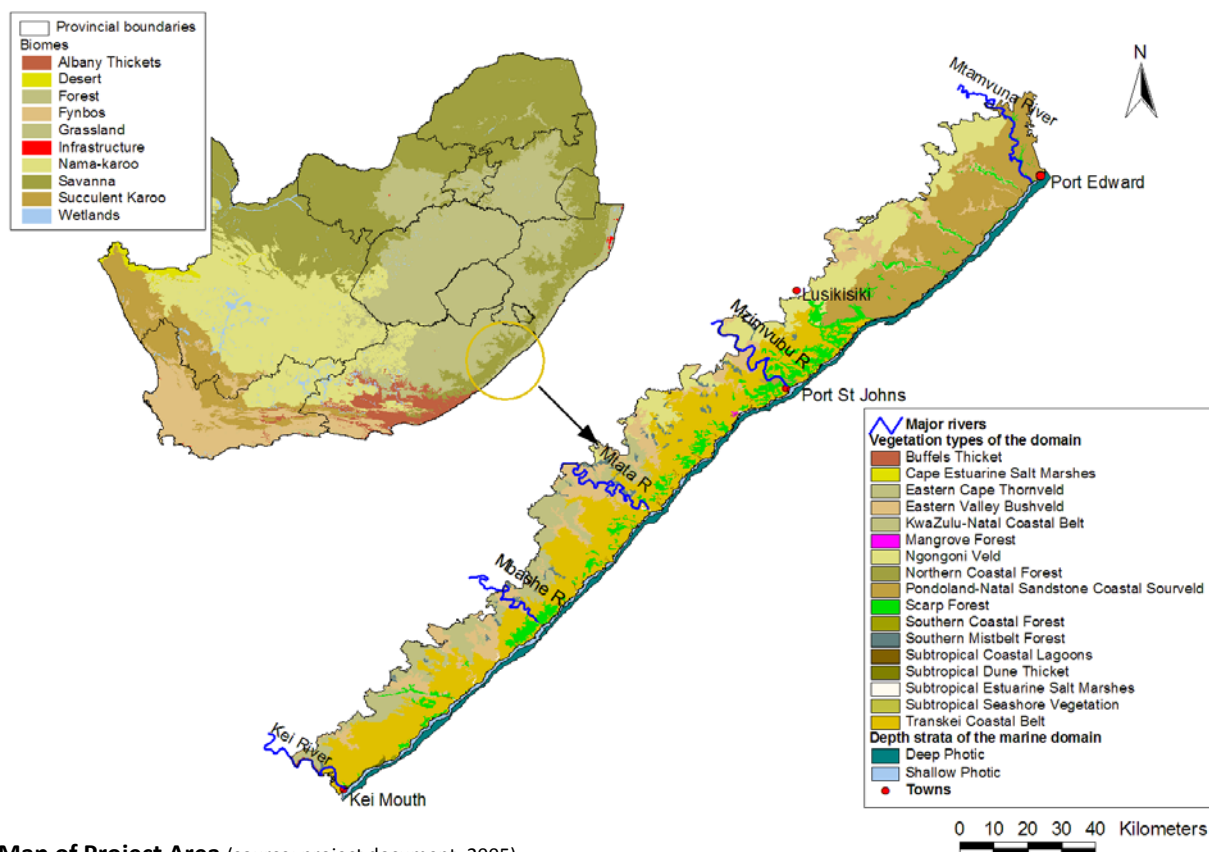
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Conservation and Sustainable Use of Biodiversity on the South African Wild Coast

GEF Project ID: 1056

UNDP PIMS ID: 1767

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|-----------------------------------|---|
| Country: | South Africa |
| Focal Area: | Biodiversity |
| Implementing Agency: | United Nations Development Programme |
| Implementing Partner: | Eastern Cape Parks and Tourism Agency (ECPTA) |
| Other Responsible Parties: | National Department of Environmental Affairs (DEA) Eastern Cape Provincial Department of Economic Development, Environment Affairs and Tourism (DEDEAT) Department of Agriculture, Forestry and Fisheries (DAFF) |
| Project Implementation: | Approval Date (Start): 29 September 2006 Completion: 30 June 2014 |



Prepared by:

James Lenoci

(Contract No. IC/2014/UNDP/008)

Terminal Evaluation Opening Page:

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|---------------------------------------|---|
| Project Name: | Conservation and Sustainable Use of Biodiversity on the South African Wild Coast |
| GEF Project ID: | 1056 |
| UNDP PIMS ID: | 1767 |
| Country: | South Africa |
| Region: | Biodiversity |
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| Focal Area: | Biodiversity |
| PDF-B Approval: | 18 June 2003 |
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| Implementing Agency: | United Nations Development Programme (UNDP) |
| Management Arrangement: | National Implementation Modality (NIM) |
| Implementing Partner: | Eastern Cape Parks and Tourism Agency (ECPTA) |
| Other Responsible Parties: | National Department of Environmental Affairs (DEA) Eastern Cape Provincial Department of Economic Development, Environment Affairs and Tourism (DEDEAT) Department of Agriculture, Forestry and Fisheries (DAFF) |
| Implementation Timeframe: | 29 September 2006 to 30 June 2014 |
| Project Cost: | USD 31,157,400 |
| GEF Grant: | USD 6,500,000 (excluding PDF-B amount) PDF-B amount: USD 339,410 |
| Co-Financing, Committed: | USD 24,318,000 (excluding PDF-B amount) PDF-B amount: USD 276,500 (from DEDEAT) ECPTA: USD 2,608,000 Municipality: USD 30,000 Marine & Coastal Management: USD 750,000 Province: USD 100,000 DEA: USD 5,830,000 DAFF: USD 5,000,000 Development Bank of South Africa USD 10,000,000 |
| Terminal Evaluation Timeframe: | April – May 2014 |
| Evaluator: | James Lenoci |
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Executive Summary

| Exhibit 1: Project Summary Table | | | | |
|----------------------------------|---|---|------------------------------|-----------------------------|
| Project Title: | Conservation and Sustainable Use of Biodiversity on the South African Wild Coast | | at endorsement (MUSD) | at completion (MUSD) |
| GEF Project ID: | 1056 | GEF financing: | 6.5 | 6.239 |
| UNDP Project ID: | 1767 | IA/EA own: | 2.608 | 5.926 |
| Country: | South Africa | Government: | 11.71 | 11.635 |
| Region: | Africa | Other: | 10 | 0 |
| Focal Area: | Biodiversity | Total co-financing: | 24.318 | 17.561 |
| Operational Program: | 2 | Total Project Cost: | 30.818 | 23.800 |
| Implementing Partner: | Eastern Cape Parks and Tourism Agency (ECPTA) | Prodoc Signature (date project began): | | 29 Sep 2006 |
| Other Partners Involved: | National Department of Environmental Affairs (DEA) Eastern Cape Provincial Department of Economic Affairs, Environment & Tourism (DEAET) Department of Agriculture, Forestry and Fisheries (DAFF) | (Operational) Closing Date: | Proposed: 12 Dec 2010 | Actual: 30 Jun 2014 |

Note: GEF financing amount at completion is total expenditures through 19 May 2014

Project Description

The Project was designed to develop a representative protected area (PA) estate on communally owned land along the Wild Coast of the Eastern Cape Province. These protected areas would be managed under a range of collaborative management (co-management) agreements between Provincial, Local and National authorities, local communities and the private sector, as suited to the management challenges facing different sites. There were three main intervention areas:

1. Strengthening the institutional framework for protected areas governance and co-management;
2. Enhancing management effectiveness within a rationalized and more representative system of protected areas (IUCN management category II and IV – National Park, Provincial Nature Reserves and Marine Protected Area), operating under PA governance and co-management agreements with local communities and the private sector; and
3. Developing a functioning network of effectively managed multiple resource use protected areas (IUCN management category V and VI –Protected Natural Environments and Indigenous State Forests) in active collaboration with local communities.

These interventions were envisioned to be nested in a land use plan for the Wild Coast that integrates the management of PA's within the regional sustainable development framework. GEF funding was allocated towards building capacity at the systemic, institutional, and individual levels for PA governance and co-management while significant co-financing was committed for accompanying environmental management and community development activities. Collectively, these interventions were expected to provide a paradigm for progressive replication elsewhere in South Africa, with the aim of strengthening the PA system.

Terminal Evaluation Purpose and Methodology

This terminal evaluation was conducted to provide conclusions and recommendations about the relevance, efficiency, effectiveness, sustainability, and impact of the Project. The evaluation also aimed to identify lessons from the Project for future similar undertakings, and to propose recommendations for ensuring the sustainability of the results. The evaluation was an evidence-based assessment and relied on feedback from persons who have been involved in the design, implementation, and supervision of the project, review of available documents and records, and findings made during field visits.

Evaluation Ratings

Evaluation ratings are tabulated below in **Exhibit 2**.

| Exhibit 2: Evaluation Rating Table | | |
|---|-------------------------|--|
| Criteria | Rating | Comments |
| 1. Monitoring and Evaluation | | |
| M&E Design at Entry | Moderately Satisfactory | The M&E plan was reasonably extensive, sufficient activities and funds were allocated, and the use of the METT as an evaluation tool was designed to provide capacity building support to the ECPTA and contribute to improving their overall M&E system as an agency. One particular shortcoming in the M&E plan was the lack of baseline activities for both biodiversity inventories and socio-economic conditions. |
| M&E Plan Implementation | Moderately Satisfactory | The Project performance was consistently reported in progress reports, and strengthened institutional capacity supported by the project contributed to overall improvements in management effectiveness of reserves and State forests in the targeted areas. |
| Overall Quality of M&E | Moderately Satisfactory | No adjustments were made to the logical results framework at the inception phase or later on. The mid-term review was completed rather late in the Project, reducing the opportunity for affecting significant changes. Monitoring of the benefits realized through demonstrations of communal co-management was generally weak, i.e., insufficiently quantified. Finally, an exit strategy (or sustainability plan) has not been elaborated. |
| 2. Implementing Agency (IA) and Implementing Partner (Executing Agency - EA) Execution | | |
| Quality of IA Execution | Satisfactory | The UNDP CO and GEF RTA provided satisfactory support to the project, through active participation in the Steering Committee meetings, feedback on progress reports, personal communication with the project coordinator, and visits to the project sites, particularly in the early stages of the implementation phase. There were a few shortcomings in IA execution. A more active stakeholder coordination role by the UNDP CO was constrained by the limited agency staff. And synergies with other biodiversity projects were insufficiently developed, although lessons from the Wild Coast project were used in design of some of the proposed projects in the GEF-5 cycle. |
| Quality of EA Execution | Satisfactory | Co-financing commitments by ECPTA exceeded commitments; the organization hired the Project community liaison officer to a full-time people and parks manager position for the entire Province; they have approved a people and parks policy; and a draft policy on co-management of protected areas is expected to be approved later this year. There were some difficulties integrating the CASU into the ECPTA organization; there were some improvements later in the project stages. The CASU personnel were highly qualified and dedicated, although responsibilities were a bit unevenly shouldered by the Project coordinator. |
| Overall IA-EA Execution | Satisfactory | The function of a national coordination body did not materialize as planned, and the performance of the Project was impacted by relatively narrow stakeholder involvement and lack of integration of co-financing contributions, both of which could have been supported by an engaged national coordination role. |
| 3. Assessment of Outcomes | | |
| Relevance | Relevant | The Project remains highly relevant across a number of criteria. Among the 21 nature reserves under ECPTA management, 17 of them are on communal land. Co-management and participatory forest management are mandated in the Protected Areas Act 57 of 2003 and the National Forests Act 84 of 1998, respectively. And, the issue of land tenure continues to be high on the socio-political agenda, in response to the Restitution of Land Rights Act 22 of 1994. |

Exhibit 2: Evaluation Rating Table

| Criteria | Rating | Comments |
|--|-------------------------|--|
| | | <p>The Project was also closely aligned with the South African National Biodiversity Strategy and Action Plan (NBSAP), particularly with respect to managing protected areas with full stakeholder participation to contribute to socio-economic development, and the aim of equitable access, rights, and responsibilities for sustainable use of biological resources.</p> <p>The Project remains relevant with the strategic objectives of the GEF-5 Biodiversity Strategy, particular with respect to Outcomes 2.1, 2.2, and 2.3. And, the Project is consistent with to the objectives of the Strategic Cooperation Framework between the United Nations and the Government of South Africa, especially regarding Key Result Area 2: Government integrates sustainable development approaches into policies aimed at reducing poverty and promoting equitable socio-economic development.</p> |
| Effectiveness | Moderately Satisfactory | <p>Participatory land use planning supported by the Project led to the gazetting of the DEDEAT Environmental Management Framework. The Project also facilitated negotiations for expanded protected areas that would largely exceed spatial and vegetative type targets set forth in the Project objective indicator targets.</p> <p>Improvements in PA management effectiveness demonstrated without formal co-management arrangements, which were principally constrained by continued legal issues with respect to resolution of settlement claims. However, conclusion of new co-management agreements were not realized within the Project timeframe; a major shortcoming, considering the agreed indicator targets.</p> |
| Efficiency | Moderately Satisfactory | <p>Compliance with incremental cost criteria was fulfilled in the Project design. Although the legislative framework for co-management arrangements in South Africa is well developed, there remain only a few cases of actual implementation.</p> <p>Co-financing from ECPTA and DEA exceeded pledged amounts, but coordination of co-financing contributions was weak. The delays and low productivity during the first 2 years of the Project implementation also diminished the overall efficiency.</p> |
| Overall Outcome Rating | Moderately Satisfactory | <p>While the Project made significant contributions in building both institutional and individual capacity with respect to PA co-management arrangements, the time and resources required to strengthen the enabling environment were under-estimated in the Project design, and the Project was hence unable to fulfil the intended outcomes.</p> |
| 4. Sustainability | | |
| Financial Risks | Moderately Likely | <p>Relatively high financial risks remain, evident by the continued staffing cutbacks and insufficient maintenance of deteriorating infrastructure among the reserves and State forests in the area. There is some private sector engagement, e.g., at the Mkambathi reserve. But overall weak government commitment to the incremental costs supported by the GEF grant for co-management arrangements diminishes sustainability.</p> |
| Socio-Economic Risks | Moderately Unlikely | <p>The Eastern Cape is commonly ranked as the poorest Province in South Africa, and the conditions in the rural areas of the Wild Coast are particularly impoverished. The tenuous sustainability of the gains achieved through demonstrated communal co-management arrangements was evident in the short time it took for unsustainable practices to rebound after the extra reserve guards were removed. Internal conflicts and power struggles among traditional authorities and continued pressure from short-sighted development interventions add to the socio-economic risks.</p> |
| Institutional Framework and Governance Risks | Moderately Likely | <p>South Africa has been a global leader in progressive biodiversity strategies and institutional frameworks, and the Project made meaningful contributions in support of the now gazetted DEDEAT Environmental</p> |

Exhibit 2: Evaluation Rating Table

| Criteria | Rating | Comments |
|--------------------------------------|---------------------|---|
| | | Management Framework. There are, however, concerns with respect to governance, i.e., weak inter-agency collaboration and lack of alignment of Provincial and national priorities. |
| Environmental Risks | Likely | There are medium to longer term potential implications to biodiversity, particular among marine resources, as a result of climate change. Potential range extensions and changes in ecosystem community structure are predicted to be more pronounced in estuaries of sub-tropical KwaZulu-Natal and the cool temperate Western Cape than along the Wild Coast. |
| Overall Likelihood of Sustainability | Moderately Unlikely | The high socio-economic risks and uncommitted financial resources diminish the overall sustainability of the gains realized by the Project. The lack of an exit strategy (or sustainability plan) has contributed to the high level of uncertainty at project closure regarding further support. |

Major Project Strengths and Achievements

Strengthened capacity and awareness among target communities

Engagement with the target communities, which is particularly challenging in the Wild Coast where unresolved land claims and lack of trust with administrative authorities permeate the local society, was impressive by the Project team. This engagement included involving the communities in land use planning, demonstrating how they can participate in management of nature reserves and State forests, and identifying potential revenue streams that could possibly offer employment opportunities and income for sustaining communal stewardship of the protected areas.

Formalized environmental management framework with community participation

The Project supported delineation of ecologically sensitive areas in the Wild Coast, particularly within the Coastal Conservation Area, which is particularly under development pressure, and worked with the DEDEAT in documenting these surveys into land use maps, covering a total area of 25,000 ha. The DEDEAT has formalized these plans into the gazetted Environmental Management Framework, which serves as a guide for municipal planners and developers. This support is an important contribution, made even more valuable through the participatory process involving communities in reviewing and eventually concurring with the proposed land use delineations.

Although new co-management agreements were not concluded within the timeframe of the Project, principally due to legal constraints surrounding land settlement claims, the areas under negotiation for expanded PA's largely exceed the spatial and vegetation type goals set out in the Project objective indicator targets.

Demonstrated improved PA management effectiveness under communal participation

The Project trained and employed community members to fill 67 temporary positions as reserve/forest guards and 167 technicians for clearing invasive vegetation from 11 communities, for a period of approximately one year and in some locations 1-1/2 years. There is strong anecdotal evidence that this enhanced, communal management of these protected areas resulted in considerable lower incidences of illegal and unsustainable practices, such as tree cutting, bark harvesting, and poaching. And, monthly incident reports from the Manubi Forest and Mt. Thesiger/Caguba provided convincing evidence of the effective law enforcement capacity of these appointees. Indeed, the ECPTA arranged that 80 new hires participate in trainings sponsored by the Project, and the DAFF has used the experience gained in their strategic planning on a national scale. As the DAFF cannot support increasing management expenditures across the board, due to budget constraints, they are considering augmenting forest guards at critical State forests in the country.

Strengthened institutional capacity

The Project started shortly after the ECPTA was formed, and hence the agency was well positioned to benefit from the activities and direct support provided. As 17 of the 21 nature reserves under the ECPTA's jurisdiction are on communal land, co-management arrangements promoted by the Project are of particular importance. Evidence of the agency's commitment with respect to community integration into an expanded PA estate system for the Province is the hiring of the Project community liaison officer as the ECPTA people and parks manager, for the entire Province. Also, the agency has produced a draft policy on co-management of protected areas, using lessons learned from the Project.

There was also direct support, e.g., including 30 field video cameras for enforcement surveillance and biodiversity monitoring, and two patrol boats for management of marine protected areas; the ECPTA had very little staff or resource capacity for managing MPAs. The Project also funded the completion of three estuary management plans, which further strengthens the agency's capacity.

Scaling up of Project-sponsored environmental education programme

The Project was proactive in delivering an environmental education programme among 57 local schools throughout the Wild Coast, and these efforts also included training teachers and sponsoring environmental awareness competitions for the schools. All in all, approximately 6,000 students participated in the programme. The people and parks manager for the ECPTA, the former Project community liaison officer, has taken the initiative to continue this program, and she has garnered multi-stakeholder support, including from the Ministry of Education, ECPTA, municipalities, Oceans and Coasts, etc. If continued, this programme has the potential to influence future decision makers and affect change through enhanced awareness among the youth.

Key Shortcomings

Under-estimation of time required to strengthen enabling environment (design shortcoming)

The baseline circumstances outlined by the Project presented a situation where conservation agencies were seriously under-funded, communities lacked capacity and participation in management of protected areas, unsustainable practices among nature reserves and State forests were exacerbated by impoverished socio-economic conditions, and land restitution processes were mired in legal constraints. Strengthening this enabling environment was a big enough challenge, not to mention succeeding in proclaiming expanded protected areas and running these reserves and State forests under participatory management arrangements. The design was highly relevant and contained sufficiently quantifiable indicator targets, but there was simply not enough time allocated for the process of strengthening the enabling environment.

Lack of an exit strategy and weak coordination of co-financing contributions

The Project made considerable advances in building trust among the target communities, but the realized gains are tenuous, e.g., as evidenced by how quickly unsustainable practices rebounded in nature reserves and State forests after employment of the augmented community staff was discontinued. The lack of an exit strategy, compounded by weak coordination of co-financing contributions, has resulted in a highly uncertain situation at the end of Project. The relevant institutional stakeholders need to realize that some sort of subsidies will be required to support community co-management, both in terms of financing capital expenditures for infrastructure development and in capacity building. To a large extent, the institutional circumstances at Project closure are little changed from baseline conditions, with continued cutbacks in staff and minimal investment in infrastructure improvements. This seems to indicate somewhat of a lack of commitment by governmental stakeholders to contribute to the incremental costs funded through the GEF grant.

Stakeholder involvement was not inclusive enough

The Project design and implementation approach was conservation-centric, which is partly understandable considering that the intervention was funded under the biodiversity focal area. Cultivating community participation in PA management, however, requires involvement by a wider spectrum of stakeholders, e.g.,

those with socio-economic mandates and, in the case of the Wild Coast and South Africa as a whole, those ones responsible for land rights. The Project team was unable and unprepared, and in fact, not responsible, to facilitate legal resolution of land settlement claims. Similarly, promotion of alternative livelihoods should be coupled with broader socio-economic efforts aimed at alleviating poverty.

Although a national coordination body was envisioned in the Project design, this function did not materialize, and the Project was mostly run with participation of Provincial and regional stakeholders. There was outreach later in the Project's lifespan to national level agencies, but the results might have been enhanced if collaboration between local/provincial and State stakeholders was coordinated throughout the entire implementation phase. Staffing the CASU, in this context, was a bit uneven, with most of the team focused on community and provincial level activities, and rather limited outreach to national stakeholders.

Insufficient resources allocated for monitoring and baseline activities

Baseline information on biodiversity inventories and socio-economic conditions were scarce for the target reserves/forests and communities, and essentially no allocation was made to collect baseline data. The terminal evaluator considers such information imperative with respect to assessing attainment of the Project objective.

Although the available anecdotal evidence was compelling, with respect to the impact of temporary communal participatory management in improving effectiveness of PA management, there was limited quantifiable data compiled. Monitoring of these results was weak. Convincing decision makers to adjust staffing levels or other management arrangements is more easily supported with quantified results.

It might have been prudent to train and assign the community staff to monitoring tasks, as well as performing their enforcement and maintenance duties.

Recommendations

Actions to follow up or reinforce initial benefits from the Project

1. A facilitator / business manager should be supported for a minimum of 2 years to further assist the target communities in strengthening their capacities and helping them pursue co-management opportunities and complementary economic activities that were initiated and/or advanced through support from the Project. The facilitator would also continue engaging potential donors for supporting local communities.
2. The improved management results observed during demonstration of participatory, co-management should be quantified into a case study, providing a useful knowledge product to support the DEDEAT, ECPTA, DEA, DAFF, and other stakeholders.
3. A joint workshop should be organised with the relevant local economic development departments of the district and local municipalities, along with the representative community forums and the independent facilitator, with the aim of increasing awareness of opportunities for local economic development support.
4. As a way to improve the dissemination of Project results and lessons learned, organize a workshop among provincial conservation agencies and jointly moderated by national representatives of the DEA and DAFF, focusing on co-management policies and experiences, and environmental education approaches.
5. Train community members to assist conservation agencies with biodiversity monitoring. Increased skill in biodiversity monitoring would provide these people a more informed role with respect to participatory management of protected areas, through increasing their knowledge of the ecological resources in their communities, thus enhancing their appreciation for conservation.

6. Continue efforts to facilitate arrangements between conservation agencies and the communities living near the Dwesa-Cwebe Marine Protected Area (MPA), in order to overcome discord between conservation objectives and social needs and traditional ways of life.

Proposals for future directions underlining main objectives:

7. Building upon the lessons learned in this intervention, there might be an opportunity to develop a complementary project in the upcoming GEF-6 funding cycle. For example, implementing biodiversity mainstreaming, where biodiversity conservation is integrated across the economic sectors of society, might be a workable approach, rather than expanding the protected area system, for some areas within the Wild Coast.
8. Implementation of such a project might be best realized through a multi-sectoral implementation modality, where key stakeholders are given specific implementation roles, e.g., responsible for particular outcomes, and even disbursements might be directly made to each of the implementing partners.
9. Whatever implementation modality is decided upon for facilitating communal, participatory management of protected areas, a much stronger coordination role by key national stakeholders, including the DEA and DAFF, should be ensured.
10. It would be advisable to assess possible linkages with some of the large infrastructure developments within the Wild Coast, including the N2 motorway expansion and Umzimvubu Water Basin project.
11. For interventions where changes to protected area governance are expected, it is imperative to have sufficient biodiversity and socio-economic baseline information, so that changes can be reasonably assessed.
12. One of UNDP's strongest comparative advantages is their experience in advocating and advancing human development issues across the globe. As biodiversity conservation in the Wild Coast is deeply intertwined with poverty alleviation objectives of local communities, linkage with complementary UNDP interventions should be better coordinated and implemented.

Abbreviations and Acronyms

| | |
|----------|--|
| AIDS | Acquired Immune Deficiency Syndrome |
| APR | Annual Project Report |
| ARC | Agriculture Research Council |
| AWP | Annual Work Plan |
| BC&CM | Biodiversity Conservation and Coastal Management |
| BEE | Black Economic Empowerment |
| C.A.P.E. | Cape Action for People and Environment |
| CBD | Convention on Biological Diversity |
| CASU | Co-management Assistance Support Unit |
| CCA | Coastal Conservation Area |
| CCF | Country Cooperation Framework |
| CDEA | Chief Directorate of Environmental Affairs |
| CEPF | Critical Ecosystem Partnership Fund |
| CMS | Convention on the Conservation of Migratory Species of Wild Animals |
| CO | Country Office |
| CPA | Communal Property Association |
| CPPP | Community Public Private Partnership |
| DAFF | Department of Agriculture, Forestry and Fisheries |
| DBSA | Development Bank of Southern Africa |
| DEDEAT | Eastern Cape Department of Economic Development, Environment Affairs and Tourism |
| DEA | Department of Environmental Affairs |
| DHLG&T | Department of Housing, Local Government and Traditional Affairs |
| D:IFM | Directorate – Indigenous Forest Management |
| DLA | Department of Land Affairs |
| DME | Department of Mineral and Energy Affairs |
| DoT | Department of Transport |
| DTI | Department of Trade and Industry |
| DWAF | Department of Water Affairs and Forestry |
| ECDC | Eastern Cape Development Corporation |
| ECPTA | Eastern Cape Parks and Tourism Agency |
| EIA | Environmental Impact Assessment |
| EMCA | Environmental Management Co-operation Agreements |
| GEF | Global Environment Facility |
| HIV | Human Immunodeficiency Virus |
| IA | Implementing Agency |
| IBA | Important Bird Area for Africa |
| IDT | Independent Development Trust |
| IGCC | Inter-governmental Coordination Committee |
| IDP | Integrated Development Plan |
| ISRDP | Integrated Sustainable Rural Development Program |
| IUCN | The World Conservation Union |
| KMS | Knowledge Management System |
| M&E | Monitoring and Evaluation |
| MCM | Marine and Coastal Management |
| MEC | Member of Executive Committee |
| METT | Management Effectiveness Tracking Tool |
| MPA | Marine Protected Area |

| | |
|----------|--|
| MINMEC | Ministerial Environmental Committee |
| MTE | Mid-Term Evaluation |
| NBSAP | National Biodiversity Strategy and Action Plan |
| NEMA | National Environmental Management Act |
| NGO | Non-governmental Organization |
| NSBA | National Spatial Biodiversity Assessment |
| PA | Protected Area |
| PAM | Protected Area Management Department |
| PC | Pondoland Centre of Endemism |
| PCC | Provincial Coastal Committee |
| PDF-B | Project Development Fund Block B (GEF) |
| PFM | Participatory Forest Management |
| PIR | Project Implementation Review |
| PSC | Program Steering Committee |
| PTO | Permission-To-Occupy |
| PWD | Public Works Department |
| REDD | Reducing Emissions from Deforestation and forest Degradation |
| ROAR | Results Oriented Annual Report |
| RSA | Republic of South Africa |
| RTA | Regional Technical Advisor |
| SANBI | South African National Biodiversity Institute |
| SANParks | South African National Parks |
| SEA | Strategic Environmental Assessment |
| SDF | Spatial Development Framework |
| TBD | To be Determined |
| TE | Terminal Evaluation |
| TRALSO | Transkei Land Service Organization |
| UN | United Nations |
| UNDP CO | United Nations Development Programme Country Office |
| WCSDI | Wild Coast Spatial Development Initiative |
| WESSA | Wildlife and Environment Society of South Africa |
| WWF | World Wide Fund for Nature |

1. INTRODUCTION

1.1. Purpose of Evaluation

The objectives of the evaluation were to assess the achievements of project and to draw lessons that can both improve the sustainability of benefits from this project, and aid in the design and implementation of similar projects.

1.2. Evaluation Scope and Methodology

The terminal evaluation was an evidence-based assessment and relied on feedback from persons who have been involved in the design, implementation, and supervision of the project, and also review of available documents and findings made during field visits.

The overall approach and methodology of the evaluation followed the guidelines outlined in the UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects¹.

The evaluation was carried out by one international consultant and included the following activities:

- ✓ An evaluation mission was carried out from 5-19 May 2014; the itinerary is compiled in **Annex 1**;
- ✓ Provincial, community, and national level stakeholders were interviewed for their feedback on the project (interviewed persons are listed in **Annex 2**);
- ✓ On 13-15 May, field visits were made to the three of the target communities: Manubi, Silaka, and Lambasi. A summary of the field visits is presented in **Annex 3**;
- ✓ The evaluator completed a desk review of relevant sources of information, such as the project document, project progress reports, financial reports, mid-term review, and key project deliverables. A complete list of information reviewed is compiled in **Annex 4**;
- ✓ At the end of the evaluation field mission on 19 May 2014, the evaluator presented the findings at a debriefing held at the UNDP Country Office in Pretoria and attended by representatives from the UNDP CO, DEA, and DAFF.

As a data collection and analysis tool, an evaluation matrix was adapted from the preliminary set of questions included in the TOR (see **Annex 5**). Evidence gathered during the fact-finding phase of the evaluation was cross-checked between as many sources as practicable, in order to validate the findings. The project logical results framework was also used as an evaluation tool, in assessing attainment of project objective and outcomes (see **Annex 6**).

1.3. Structure of the Evaluation Report

The evaluation report starts out with a description of the project, indicating the duration, main stakeholders, and the immediate and development objectives. The findings of the evaluation are broken down into the following sections in the report:

- ✓ Project Formulation
- ✓ Project Implementation
- ✓ Project Results

¹ Guidance for Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects, 2012, UNDP.

The discussion under **project formulation** focuses on an evaluation of how clear and practicable were the project's objectives and components, and whether project outcomes were designed according to SMART criteria (see **Exhibit 3**).

| Exhibit 3: SMART Criteria | |
|---|--|
| S | Specific: Outcomes must use change language, describing a specific future condition |
| M | Measurable: Results, whether quantitative or qualitative, must have measurable indicators, making it possible to assess whether they were achieved or not |
| A | Achievable: Results must be within the capacity of the partners to achieve |
| R | Relevant: Results must make a contribution to selected priorities of the national development framework |
| T | Time-bound: Results are never open-ended. There should be an expected date of accomplishment |
| Source: Guidance for Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects, 2012, UNDP | |

Also, project formulation covers whether or not capacities of executing agencies were sufficiently considered when designing the project, and if partnership arrangements were identified and negotiated prior to project approval. An assessment of how assumptions and risks were taken into account in the development phase is also included.

The report section on **project implementation** first looks at how the logical results framework was used as an M&E tool during the course of the project. Also, the effectiveness of partnerships and the degree of involvement of stakeholders are evaluated. Project finance is assessed, by looking at the degree of co-financing that was materialized in comparison to what was committed, and also whether or not additional or leveraged financing was secured during the implementation phase. The cost-effectiveness of the project is evaluated by analysing how the planned activities met or exceeded the expected outcomes over the designed timeframe, and whether an appropriate level of due diligence was maintained in managing project funds.

The quality of execution by both the implementing agency and the executing agency is also evaluated and rated in the project implementation section of the report. This evaluation considers whether there was sufficient focus on results, looks at the level of support provided, quality of risk management, and the candour and realism represented in the annual reports.

The project implementation section also contains an evaluation and rating of the project M&E system. The appropriateness of the M&E plan is assessed, as well as a review of how the plan was implemented, e.g., compliance with progress and financial reporting requirements, how were adaptive measures taken in line with M&E findings, and management response to the recommendations from the mid-term review.

In GEF terms, **project results** include direct project outputs, short- to medium-term outcomes, and longer term impact, including global environmental benefits, replication efforts, and local effects. The main focus is at the outcome level, as most UNDP supported GEF financed projects are expected to achieve anticipated outcomes by project closing, and recognizing that global environmental benefit impacts are difficult to discern and measuring outputs is insufficient to capture project effectiveness.

Project outcomes are evaluated and rated according to relevance, effectiveness, and efficiency:

Relevance: The extent to which the activity is suited to local and national development priorities and organizational policies, including changes over time. Also, the extent to which the project is in line with GEF Operational Programs and the strategic priorities was assessed.

Effectiveness: The extent to which an objective has been achieved or how likely it is to be achieved.

Efficiency: The extent to which results have been delivered with the least costly resources possible; also called cost effectiveness or efficacy.

In addition to assessing outcomes, the report includes an evaluation of country ownership, mainstreaming, **sustainability** (which is also rated), catalytic role, mainstreaming, and impact.

With respect to **mainstreaming**, the evaluation assesses the extent to which the Project was successfully mainstreamed with other UNDP priorities, including poverty alleviation, improved governance, the prevention and recovery from natural disasters, and gender.

In terms of **impact**, the evaluator assessed whether the Project has demonstrated: (a) verifiable improvements in ecological status, (b) verifiable reductions in stress on ecological systems, and/or (c) demonstrated progress towards these impact achievements.

Finally, the evaluation presents **recommendations** for reinforcing and following up on initial project benefits. The report concludes with a discussion of **lessons learned** and **good practices** which should be considered for other GEF and UNDP interventions.

1.4. Ethics

The evaluation was conducted in accordance with the UNEG Ethical Guidelines for Evaluators, and the evaluator has signed the Evaluation Consultant Code of Conduct Agreement form (see **Annex 7**). In particular, the evaluator ensures the anonymity and confidentiality of individuals who were interviewed and surveyed. In respect to the UN Declaration of Human Rights, results were presented in a manner that clearly respects stakeholders' dignity and self-worth.

1.5. Limitations

The evaluation was carried out over a period of 26 consultant days; including preparatory activities, field mission, desk review, and completion of the evaluation report, according to the guidelines outlined in the Terms of Reference (see **Annex 8**).

As time was limited, not all of the communities near the 12 protected areas addressed by the Project could be visited. Also, Project operations were more or less wound down in July 2013, and in this month the last Project Steering Committee was convened. Some of the people involved in the project were no longer in the same post, while others had some difficulty recalling certain details and finding files. The evaluator made a diligent effort to reach out to the key stakeholders and reviewed the most relevant documents. The information obtained over the course of the evaluation is assumed to be representative of the performance of the project.

1.6. Evaluation Ratings

The findings of the evaluation are compared against the targets set forth in the logical results framework, and also analysed in light of particular local circumstances. The effectiveness and efficiency of project outcomes are rated according to the 6-point GEF scale, ranging from Highly Satisfactory (no shortcomings) to Highly Unsatisfactory (severe shortcomings). Monitoring &

evaluation and execution of the implementing and executing agencies were also rated according to this scale. Relevance is evaluated to be either relevant or not relevant.

Sustainability is rated according to a 4-point scale, ranging from Likely (negligible risks to the likelihood of continued benefits after the project ends) to Unlikely (severe risks that project outcomes will not be sustained). Impact was rated according to a 3-point scale, including significant, minimal, and negligible. The rating scales are compiled below in **Exhibit 4**.

| Exhibit 4: Rating Scales | | |
|---|--|-----------------------------|
| Ratings for Outcomes, Effectiveness, Efficiency, M&E, I&E Execution | Sustainability Ratings: | Relevance Ratings: |
| 6. Highly Satisfactory (HS): The project had no shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency | 4: Likely (L) Negligible risks to sustainability | 2. Relevant (R) |
| 5: Satisfactory (S): There were only minor shortcomings | 3. Moderately Likely (ML): Moderate risks to sustainability | 1. Not relevant (NR) |
| 4. Moderately Satisfactory (MS): There were moderate shortcomings | 2. Moderately Unlikely (MU): Significant risks to sustainability | Impact Ratings: |
| 3. Moderately Unsatisfactory (MU): The project had significant shortcomings | 1. Unlikely (U): Severe risks to sustainability | 3. Significant (S) |
| 2. Unsatisfactory (U): There were major shortcomings in the achievement of project objectives in terms of relevance, effectiveness, or efficiency | | 2. Minimal (M) |
| 1. Highly Unsatisfactory (HU): The project had severe shortcomings | | 1. Negligible (N) |
| Additional ratings where relevant: Not Applicable (N/A) Unable to Assess (U/A) | | |
| Source: Guidance for Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects, 2012, UNDP | | |

2. PROJECT DESCRIPTION

2.1. Project Start and Duration

Key project dates are listed below:

| | |
|--------------------------------------|-------------------|
| Pipeline Entry Date: | 14 May 2001 |
| PDF-B Approval: | 18 June 2003 |
| Approval Date: | 08 June 2005 |
| CEO Endorsement Date: | 04 January 2006 |
| GEF Agency Approval Date: | 29 September 2006 |
| First Disbursement: | November 2007 |
| Inception: | uncertain |
| Mid-Term Review: | October 2011 |
| Project completion (original) | 12 December 2010 |
| Project completion (actual) | 31 December 2013 |
| Terminal evaluation | March-May 2014 |

The Project was first conceptualized in 2001, when it entered the GEF project pipeline. A PDF-B grant of USD 339,410 was approved in June 2003, and the project preparatory phase extended until mid-2005. The Project was approved on 08 June 2005, and endorsed by the GEF CEO about 6 months later, on 04 January 2006. The GEF Agency (UNDP) approved the Project more than 9 months afterwards, at the end of September 2006. Limited details on the inception phase of the Project were available to the evaluator for review, as the current project coordinator started in 2008, after two other coordinators resigned over the course of the first two years of implementation. And, the UNDP CO also could not provide a copy of the inception report or other information from the early phases of implementation.

The first disbursement was advanced near the end of 2007. The duration of the Project was envisaged to be 62 months, with an original closure date of 12 December 2010. The first extension, until the end of 2012, was granted in early 2011.

A mid-term review was carried out in late 2011 (report is dated October 2011); this is more than 3-1/2 years into a 5 year project, if the end of 2007 is considered the start date. Two additional extensions were approved: one from January to July 2013, and then the other from August to December 2013. Operations more or less wrapped up in July 2013, and the last Steering Committee meeting was held that month. A final, no-cost extension was approved until the end of June 2014, to allow completion of the terminal evaluation and final project administration, which was contracted in March 2014.

2.2. Problems that the Project Sought to Address

South Africa has been a global leader in developing and experimenting with new models of protected area (PA) management, including partnerships with private landowners, private utilities, and the business sector. Management arrangements on communal lands have, however, been slow to implement, even though 30-50% of the total communal lands in the country occur in priority areas for conservation (NBSA, 2004). Although, there are sound legislative frameworks in

place for communal, participatory co-management, e.g., as stipulated in the Protected Areas Act 57 of 2003 and the National Forests Act 84 of 1998, the complex socio-economic challenges surrounding how rural communities are using these lands, compounded with legal constraints underscoring resolution of land restitution have resulted have hindered progress on developing and implementing communal co-management arrangements.

The Project was designed to assist the government of South Africa to conserve and sustainable manage globally significant biodiversity in one of the most important coastal areas of the country in the eastern Cape Province known as the Wild Coast. The Wild Coast forms the Eastern part of the Eastern Cape Province, and stretches along the 245 km coastal strip from the Kei River in the south, to the Umtamvuna River in the north (see map of Project area on cover page of this report). The Wild Coast includes portions of five of South Africa's nine biomes, and the major ones, encompassing the largest areas, are the forest, grassland and savannah. The Wild Coast has several types of protected areas which vary in terms of their management, as well as the constraints and opportunities they offer to conservation (Project document, 2005):

- (i) *Provincial Nature Reserves* are managed as Type 1 protected areas (IUCN category IV). The Eastern Cape Parks and Tourism Agency (ECPTA) is the delegated management authority and the areas are administered in terms of the Protected Areas Act (2003). There are currently five provincial nature reserves in the Wild Coast (Mkambathi, Dwesa, Cwebe, Hluleka and Silaka);
- (ii) *Marine Protected Areas* are managed as Category 1 (no take areas) and Category 2 (controlled extraction) protected areas. Management of the MPAs falls under the jurisdiction of the Marine Coastal Management (MCM) branch of the National Department of Environmental Affairs (DEA) and administered in terms of the Marine Living Resources Act (1998). MCM has contracted the ECPTA to implement MPA management in the Eastern Cape Province. There are three Marine Protected Areas (Dwesa-Cwebe, Hluleka and Pondoland) in the Wild Coast.
- (iii) *Trust Forests* are indigenous State Forests managed as Type 2 protected areas (IUCN category VI) with a variety of biodiversity and livelihood management arrangements applying. These indigenous forests were either reserved for forestry under the Native Trust and Land Act or demarcated as State Forests under the National Forests Act. Within the Wild Coast there are approximately 50,000 ha of indigenous forest, comprising 687 discrete patches, of which 46,245 ha are DAFF-managed State Forests. The remaining smaller patches of indigenous forest are under the control of local tribal authorities and referred to as Headman's Forests. The underlying land tenure of most of these State Forests is communal. Although consumptive use of the forests for commercial purposes requires authorization from DAFF, local people are able to enter forests to gather produce for domestic, cultural, health or spiritual reasons without a permit or license;
- (iv) *Coastal Conservation Area (CCA)* is a 1-km strip of limited development along the coast managed as a Type 2 protected area. The CCA was established in terms of the Transkei Environmental Decree (1992) with the aim of protecting the environmentally sensitive coastal zone from uncontrolled development activities. Any proposed development within 1000 m of the high water mark or within 1,000 m of a river is subject to the permission of the Provincial Department of Economic Development, Environment Affairs and Tourism (DEDEAT). The CCA is administered through co-operative governance arrangements between DEDEAT, Department of Land Affairs, Department of Local Government, Housing and Traditional Affairs (DLG&H) and the local authorities in terms of the Transkei Environmental Decree and the Wild Coast Tourism Development Policy (2001).

At the time of Project preparation, in 2004-2005, the management effectiveness of the protected area network across the Wild Coast was generally moderate to very low. The table below provides an overview of the PA.s targeted by the Project, their type, size, main threats and METT (Management Effectiveness Tracking Tool) baseline score:

| PA name | Type | Size | Main ecosystems | Date of proclamation | Legislation | Main threats | Baseline METT |
|---------------------------|-----------------------------|------------|---|---|---|---|---------------|
| Dwesa | Prov. NR (Type 1) | 3,500 ha | Coastal forest; Coastal grasslands | 1891 – Demarcated State forest 1975 – Nature Reserve | Transkei Nature Conservation Act, 1971 | Illegal harvesting of forest products, poaching, illegal grazing, invasive alien plants | 50 |
| Cwebe | Prov. NR (Type 1) | 2,200 ha | Coastal forest; Coastal Grasslands | 1893 – Demarcated State forest 1975 – Nature Reserve | Transkei Nature Conservation Act, 1971 | Illegal subsistence use, poaching, illegal grazing, invasive alien plants | 50 |
| Hluleka | Prov. NR (Type 1) | 450 ha | Coastal forest Thicket; Coastal Grassland | 1906 – Demarcated State Forest 1975 – Nature Reserve | Transkei Nature Conservation Act, 1971 | Invasive alien plants, poaching, illegal grazing, illegal harvesting of forest products | 38 |
| Mkambathi | Prov. NR (Type 1) | 7,720 ha | Coastal grassland; Coastal Forest and Swamp forest | 1977 – Nature Reserve | Transkei Nature Conservation Act, 1971 | Invasive alien plants, illegal collection of fuel wood and construction material | 44 |
| Silaka | Prov. NR (pending) (Type 1) | 340 ha | Coastal Grassland; Thicket; Coastal Forest | Final proclamation outstanding | n/a (Protected Areas Act, 2003) | Invasive alien plants, poaching and upstream afforestation and cultivation | 47 |
| Dwesa-Cwebe | MPA (Category 1) | 18,150ha | Marine | 1991 | Transkei Nature Conservation Act, 1971; Transkei Environmental decree, 1992 and 1994; Marine Living Resource Act, 1998; | Excessive harvesting of inter-tidal marine resources and illegal fishing | 50 |
| Hluleka | MPA (Category 1) | 4,125ha | Marine | 1991 | Transkei Nature Conservation Act, 1971; Transkei Environmental decree, 1992 and 1994; Marine Living Resource Act, 1998 | Illegal harvesting and fishing of inter-tidal and inshore marine resources | 38 |
| Pondoland | MPA (Category 1 and 2) | 153,000 ha | Marine | 2004 | Marine Living Resource Act, 1998 | Illegal fishing and harvesting of inter-tidal and inshore marine resources | 25 |
| (Transkei) Trust Forests | State Forests (Type 2) | 46,245 ha | Indigenous forests | 1998 | National Forest Act, 1998 | Unsustainable harvesting of construction materials and fuel wood, illegal clearing for crop production, illegal road development and fire damage from rotational burning of adjacent grasslands | 25 |
| Coastal Conservation Area | CCA (Type 2) | 25,000 ha | Coastal forests, coastal Grasslands, Thicket, Swamp forest, Estuaries | 1992 | Transkei Environmental Decree, 1992 | Unsustainable coastal resort and urban development, off-road driving, sand mining, heavy mineral mining, illegal cottage development | 27 |

2.3. Immediate and Development Objectives of the Project

The immediate objective of the Project was to develop a replicable paradigm for PA management suited to communal lands, suited to the socio-economic and institutional context of the Wild Coast and taking into account the regional and local development strategies.

The global environmental objectives are to create a representative and effectively managed PA estate in the Wild Coast, so as to strengthen the national PA System, as well as to establish the know-how and systems for sharing PA management responsibilities with communities.

While South Africa's Protected Area System is relatively strong, the Project was designed to address critical coverage and management gaps that will further improve its status, contributing towards the maturation of the System. The design consisted of the following three intended outcomes:

- Outcome 1: Institutional framework and capacity to facilitate co-management systems for PA's is in place.
- Outcome 2: Management effectiveness is enhanced within a rationalized and more representative system of protected areas (Type 1 PA's), operating under co-management agreements with local communities and the private sector.
- Outcome 3: A functioning network of managed resource use protected areas (Type 2 PA's) is in place, and is being effectively managed in active collaboration with local communities.

2.4. Baseline Indicators Established

Baseline indicators established are listed below.

Management of Protected Areas was in Transition in the Eastern Cape

- The ECPTA, formerly the Eastern Cape Parks Board, is a parastatal agency formed 4 years years before the Project was approved. At the time when the Project started implementation, the process of transferring staff and assets from the DEDEAT to the ECPTA was underway, and the protected areas were being managed in the interim, transitional period with minimum staff and resource levels.
- The Marine and Coastal Management (MCM) Branch had no dedicated staff in the province for management of marine protected areas. The MCM at that time had started negotiations with the ECPTA to contract management of the MPAs.
- Despite being under legislative mandate, the DWAF (later the DAFF) had a severe shortage of staff and resources to effectively manage the indigenous forests in the region, essentially unable to prevent the increase illegal harvest and poaching of forest resources.
- Development plans within the coastal conservation area (CCA), a strip of land 1 km inland from the coast line, were on an unsustainable path, mainly due to weak institutional arrangements and lack of clarity on legal authority, e.g., how the Coastal Management Bill would affect the CCA. A number of illegal sand mines were also starting to crop up within the CCA, and the local authorities were ineffective in enforcing these and other unsustainable activities.

Management of Protected Areas and Socio-Economic Pressures

- Many of the PA's in the Wild Coast did not have any strategic management planning, structured knowledge management systems, or business plans to direct and guide their management. Operational plans were especially weak.
- There were limited or no specialist support services (technical, construction, financial, research) to the PA staff.
- PA income from entry fees, lease agreements, and tourism facilities was supplemented by financial support for invasive alien clearing programmes from Working For Water,

infrastructure and conservation maintenance programmes from the DEA Expanded Public Works Programme and funding grants for recurrent and capital expenditure.

- Two tourism concessions had been awarded in the Mkambathi nature reserve. The first failed to materialise, but the second, signed recently, is progressing steadily and should provide for private sector involvement and investment in tourism activities.
- The tourism facilities in Hluleka and Dwesa-Cwebe were being upgraded.
- Despite limited success of participatory forest management in some State forests (Type 2 PA's), relationships with local communities were generally poor, and there were only limited formalized co-management arrangements in place with weak capacity to administer them. Also, there were no structured educational programmes undertaken in or by the PA's.
- Limited resources were being allocated directly to the management of marine protected areas (MPA's), and overlapping jurisdictions for management of MPA's seemed likely to continue. There was an unmet need to rationalize management of MPA's, founded on sound business planning and underpinned by capacity building.
- For terrestrial PA's, there were discussions to bolster management efficiency through pooling staff and other resources under a PA cluster management approach.
- Municipal integrated development plans (IDPs) are aimed to address poverty alleviation through sustainable development in the Wild Coast, but did not explicitly further the conservation management agenda.
- Extensive rural communities are living a largely subsistence lifestyle on communal land with high biodiversity value, effectively inhibiting proclamation of traditional formal PA's. In fact, 17 of the 21 nature reserves under ECPTA management are on communally-owned land. Innovative, alternative co-management models were needed to be developed, that respects land tenure and supports the livelihoods of local people, by permitting them to use selected resources in a sustainable manner and also introducing alternative means of income that reduce their reliance on scarce natural resources.

2.5. Main Stakeholders

The project design contained an extensive stakeholder involvement plan, but effectively the main stakeholders engaged in the project included:

| <u>Name:</u> | <u>Category:</u> |
|--|-------------------------|
| Global Environment Facility (GEF): Funder | International |
| United Nations Development Programme (UNDP): Implementing Agency | Country Office |
| Eastern Cape Parks and Tourism Agency (ECPTA): Lead Implementing Partner | Provincial |
| Department of Economic Development, Environmental Affairs and Tourism (DEDEAT) | Provincial |
| Department of Agriculture, Forests and Fisheries (DAFF) | Regional |
| Representative Community Forums (from each of the target communities) | Local |
| Department of Environmental Affairs | National |
| Department of Agriculture, Forests and Fisheries (DAFF) | National |

2.6. Expected Results

The Project aimed to contribute towards the improvement of South Africa's Protected Area System, by:

- (i) expanding PA coverage, and improving management effectiveness in PAs along South African Wild Coast, so contributing to improved bio-geographic representation in the national system;
- (ii) augmenting the management tool box, by establishing a paradigm for co-management of protected areas, that may be replicated in protected areas established on or adjacent to communal lands and; and
- (iii) providing a model for integrating PA management and poverty alleviation programs operative on communal lands, and applicable to the poorest regions of the country

These interventions would be nested in an integrated land use plan for the Wild Coast that integrates the management of PAs with the regional sustainable development framework. GEF funding was allocated towards building capacity at the systemic, institutional and individual levels for PA co-management while significant co-financing was leveraged for accompanying environmental management and community development activities.

2.7. Budget Breakdown

The project implementation budget was USD 6.5 million (GEF grant), as shown broken down in **Exhibit 5** among the three outcomes.

| Exhibit 5: Project Budget Breakdown | |
|---|---|
| <i>Item</i> | <i>Prodoc Budget (USD) % of Total</i> |
| Outcome 1 Institutional framework and capacity in place | USD 2,442,200 38% |
| Outcome 2 Management effectiveness is enhanced within a rationalised and more representative system of strict protected areas, operating under co-management agreements with local communities and the private sector | USD 1,496,000 23% |
| Outcome 3 A functioning network of managed resource use protected areas is in place and is being effectively managed in active collaboration with local communities | USD 2,561,800 39% |
| Total | USD 6,500,000 |

Note: there was no separate line item worked out for Project Management.

3. FINDINGS

3.1. Project Design / Formulation

3.1.1. Analysis of Logical Results Framework

The Project design was thorough, inclusive, and highly relevant, reflecting national priorities on co-management and participatory forest management, as well as local economic development, particularly among the impoverished rural communities throughout the Wild Coast, and efforts to conserve the rich biodiversity and scarce indigenous forests in this part of the country.

Clearly, the design team had detailed working knowledge of the issues facing biodiversity conservation in the Wild Coast, and the Project was sensibly designed across an ecosystem-scale perspective.

With respect to SMART criteria, the indicators were indeed specific, measurable, and relevant, as shown in the list of Project indicators below.

Objective level:

- Increase of protected areas estate coverage through strategic additions to the conservation estate (percentage of total indigenous state forests incorporated into formal PA estate; % of total coastal conservation area with the legal tenure secured; increase in number of ha managed as provincial PA; extent of communal land included into resource use PA estate);
- Inclusion of the priority vegetation types into PA estate contribute at least 10% of the regional conservation targets for PA;
- Compatibility of economic returns (R/ha), employment opportunities (person days/year) and entrepreneurial opportunities (number of micro-enterprises) from PA estate with existing and competing land uses.

Outcome level: By the end of the project:

- Greater than 60% of staffing in the key management institutions meet the targeted occupational levels, competence and skills;
- The average score of staff performance evaluations for the key implementing agencies is equal to or exceeds 3/5 (or equivalent by the end of the project);
- Management effectiveness index of all PAs is increased by 25-40% as monitored by METT;
- Communal land included into expanded PA estate greater than 10,000 ha (additional to existing estate);
- The budget amount appropriated for PA operational management costs will have increased by 250% for the expanded PA estate, with additional revenue secured from park usage/concession fees, new concession financing mechanisms and a reduction in the HR: operations budget ratio to 60:40;
- Awareness and understanding levels of co-management by municipal and community structures exceeds 40%;
- All Type 1 protected areas are integrated into a properly funded and managed integrated IAS control and eradication program;
- Six co-management structures established, maintained and functioning effectively and two co-management structures replicated on communal land elsewhere in southern Africa based on the tested models developed by the project.

The indicator targets were set to be achieved by the end of the Project; it might have been advisable to have worked out a step-wise framework, which in turn might have shed light on some of the time-related challenges facing the implementation process. The main shortcoming with respect to the logical results framework was, however, the issue of achieve-ability.

The outcome indicators, particularly for Outcomes 2 and 3 were overly dependent on reaching co-management agreements. The risk of delays in transferring tenure to the local communities was indicated as substantial, but in fact, it might have been unrealistic to assume these legal issues would be resolved within the lifespan of the Project. For example, at the iSimangaliso Wetland Park, South Africa's first World Heritage Site, it took 8 years to resolve the settlement of one, single land claim¹. The Project was addressing communities surrounding 12 different reserves/State forests; a truly formidable task.

Another concern was the expectations regarding the micro-enterprises providing planning and management support service to the PA estate. The target for this indicator was to have 10 new micro-enterprises established, 6 existing ones continue to provide support. With respect to the micro-enterprises to be newly established, baseline capacities were very low, not only in terms of technical skills, but also management expertise and the enabling environment, including basic services such as water and electricity. It was unrealistic to expect the Project could initiate discussions among the communities, identify potential skills and enterprises, delivery training, facilitate improvements to the enabling environment, support preparation of bank-able financing applications, and oversee start-up of the enterprises within a roughly 5-year timeframe.

The terminal evaluator also thinks that collecting biodiversity and socio-economic baseline data should have been included as an integral part of the logical results framework, as achieving the intended objective required knowledge on these factors and the available baseline information was weak.

3.1.2. Assumptions and Risks

The Project design contained a comprehensive review of potential risks, and indeed several of them remained relevant throughout the implementation phase and at closure, e.g.:

| Risks identified in Project Document, 2005 | Comments by Terminal Evaluator |
|---|--|
| Delays in the transfer of tenure to local communities for communal lands identified as important for the expansion of PAs on communal land. This would delay processing of easements with traditional authorities for off-reserve conservation. | This risk could not be mitigated during the Project implementation phase, and the deep-rooted legal constraints were largely beyond the control of the Project. The alternative risk mitigation measure proposed in the Project design, i.e., negotiate a 25-30 year back-to-back lease between the conservation agency representative community forums, through the procedures outlined in the <i>Interim Protection of Informal Land Rights Act, 1996 (Act 31)</i> was not implemented. Management of this risk should have been shared with a relevant governmental stakeholder, e.g., the DRD&LR. In the case of Dwesa-Cwebe a lease agreement was negotiated. This has not worked well, and by project termination was being re-negotiated as a co-management agreement. |
| Delay in the institution of co-management arrangements with local communities; weak support of communities for self-enforcement schemes. | The target communities were quite supportive and eager to proceed with co-management arrangements. The continued delay in issuing title deeds to the relevant communities was more of a critical constraint. |

¹ Information shared during interview of DEA representatives.

| Risks identified in Project Document, 2005 | Comments by Terminal Evaluator |
|--|---|
| | The issue of institutionalizing the co-management arrangements within the ECPTA and DAFF was equally important. Without sustainable revenue streams funding communal co-management, these agencies seem understandably reluctant to proclaim expanded reserve areas, as the required costs to cover management are not secure. There is also the consideration of how to approach management/support of micro-enterprises, which fall outside of the mandate and capacity of ECPTA/DAFF. |
| The three tiers of Government: National, Provincial and Local do not act in concert in discharging their environmental management functions | Inter-agency collaboration remains weak, although the Project was able to mitigate this risk to some degree, at least over the course of the implementation phase. The Project Steering Committee and other organized forums provided constructive opportunities for local, provincial, and national stakeholders to discuss the issues at hand. But, reaching agreement on discharging certain management functions (e.g., DAFF assigning management of protected indigenous State forests to the ECPTA) was not realized. |
| Significant increase in external development pressures on protected areas and surrounding landscapes | There remain development pressures, both from the private sector and also the government, e.g., the approved new stretch of the N2 motorway. Strategic environmental assessments were conducted, and the DEDEAT Environmental Management Framework, supported by the Project, provides a solid, sustainable development guideline. |
| Government funding appropriations for staffing and operating the Eastern Cape Parks Board are delayed | ECPTA funding levels, although restricted along with other parastatal (and governmental) agencies, seemed more or less sufficient; and co-financing support to the Project from the ECPTA exceeded expectations. The risk mitigation measure proposed in the Project design, of linking GEF disbursements with provincial budgetary support was, however, not implemented. |
| Weak integration of conservation interventions and baseline development activities particularly in production sectors (agriculture, forestry, and mining). | This risk remains a concern, but the Project was successful in supporting the DEDEAT Environmental Management Framework, which serves as a sustainable development guideline for municipalities, developers, and other stakeholders. The Project had limited involvement with municipalities in mainstreaming PA management objectives into their Integrated Development Plans. The project had negotiated an agreement with SANBI to support a municipal capacity-building programme. However two months before the programme was due to start, the SANBI official tasked with the programme resigned. By the time a new appointment was made the momentum had dissipated, and the programme never materialised. |

Risk management was discussed in Project progress reports and during Project Steering Committee meetings. But there was no evidence available of a formalized risk management procedure in place during Project implementation. As most of the risks were beyond the control of the Project to resolve, e.g., legal constraints regarding land tenure, responsibilities for risk management should have been better shared among the relevant stakeholders, rather than trying to have the CASU essentially bear all risk management responsibility.

3.1.3. Lessons from other Relevant Projects

Although the legislative framework is in place for both co-management of protected areas (Protected Areas Act, 2003) and participatory management of State forests (Forestry Act, 1998), there have been only a handful of community management schemes implemented, and even fewer at the time the Project was being prepared in 2004-05. One particular, practical lesson from this project was the rejuvenation of some of the representative community forums established as part of a GTZ-funded project in the Wild Coast on community-based natural resource management.

3.1.4. Planned Stakeholder Participation

The stakeholder involvement plan outlined extensive participation by a wide range of local, provincial, and national stakeholders. The main ones participating, however, were much less extensive, primarily including ECPTA, DEDEAT, the DAFF regional office, and representative community forums in each of the 12 target communities. Participation with national level stakeholders was mostly realized through the Project Steering Committee meetings, which were held roughly twice per year, and many of the organizations did not send management level staff, as envisioned in the design. Operational outreach to national level stakeholders was extended to the DEA and DAFF, but contact started with them started late, in 2012 in case of the DAFF. Participation was also limited with certain other governmental stakeholders that were indicated to be highly influential in the Project design; including, Commission for Land Restitution, Department of Rural Development and Land Reform (DRD&LR), and the Department of Traditional Affairs (DTA). Participation of local economic development departments of the district and local municipalities was also minimal.

As the Project was funded under the GEF biodiversity focal area, it is understandable that stakeholder participation would be heavily slanted toward conservation and forestry agencies. But, the required enabling environment for achieving effective communal, participatory management of protected areas in the Wild Coast stretches across a much broader spectrum of stakeholders, for example, ones mandated with socio-economic development and equitable land rights.

Considering the inherent legal challenges surrounding land tenure issues in South Africa and the socio-economic constraints facing development in the Wild Coast, it might have been sensible to have considered a multi-sectoral implementation modality for such a project that aimed at linking conservation, local economic development, and land rights. Assigning implementation roles and responsibilities for other stakeholders, e.g., DRD&LR, DTA, or the district municipalities, might have yielded better results.

3.1.5. Replication Approach

The Project design included a well thought-out replication strategy. One way to facilitate replication was through strengthening of the capacity of the EPTA in brokering and implementing

co-management systems in protected areas. This outcome was largely achieved, although no new co-management agreements were operationalized during the Project's lifespan.

There were also plans to mainstream co-management guidelines into Integrated Development Plans (IDPs) among the Wild Coast municipalities and elsewhere in South Africa. The gazettement of the DEDEAT Environmental Management Framework, which was considerably supported by the Project, has an indirect influence on municipality IDPs; however, there was limited direct contact with district or local municipalities.

The South African National Biodiversity Institute (SANBI) was to play an important role in hosting and spearheading the knowledge management system developed by the Project. In fact, the ECPTA hosts the SANBI Eastern Cape Bioregional Programmes Co-ordination Unit, but there was no evidence during the TE of this co-ordination unit having an active role with respect to knowledge management for the Project. The project did make contact with SANBI representatives in Cape Town on at least two occasions but nothing materialised. SANBI indicated that the agency was in the process of upgrading its own systems.

Some other components of the replication strategy included:

- Developing regulations for co-management of protected areas (this has been drafted by DEA);
- Sharing innovative financial mechanism for funding operation of protected areas;
- Developing a sustainable resource use policy (this has been completed for ECPTA);
- Formulating a monitoring and evaluation system which would document mechanisms and processes for improving PA management effectiveness. The Project recommended to the ECPTA to reformulate their State of Knowledge Reports, with emphasis on day-to-day management, as the METT does not take into account community inputs. This recommendation has not yet been taken up by the ECPTA;
- Share lessons learned in community-led monitoring and enforcement services; and
- Commission a second order economic study to facilitate development of a sustainable livelihoods strategy, which would be shared among relevant national stakeholders.

3.1.6. UNDP Comparative Advantage

The UNDP comparative advantage in the design of the Project was based on their extensive experience working in South Africa and their favourable standing and political neutrality among national stakeholders. Furthermore, UNDP has a significant track record of global cooperation with GEF, in the areas biodiversity conservation and poverty alleviation, and in capacity building, technical and policy support, as well as expertise in project design and implementation. UNDP's global reach in advocacy for human development is closely aligned with the Project focus on vulnerable communities.

The role of UNDP in supporting policy dialogue and coordinating synergies with complementary interventions did not materialize as planned. The UNDP CO has a rather large portfolio of projects, mostly GEF-financed, but very limited staff; in fact, there is only one person in the environment and energy group, the programme manager.

3.1.7. Linkages between Project and other Interventions

The most notable linkage the Project had with other interventions was with the DEDEAT, supporting their Integrated Wild Coast Development Programme (IWCDP). The Project was instrumental in providing technical assistance, in the form of GIS-based land use maps, prepared through participatory community interaction. These land use maps have been formalized in the gazetted Environmental Management Framework, which is supporting local governments in sustainably reaching their local economic development goals.

Linkages between the Project and other interventions were relatively weak and the terminal evaluator considers this a shortcoming of the project implementation. For example, there was essentially no coordination/linkage between the Project and the co-financing activities of the DEA and DAFF, or with the DBSA, who expended a considerable amount of associated financing in the Wild Coast on a variety of local economic development and biodiversity conservation initiatives. This lack of coordination/linkages impacts the likelihood for sustaining the results that the Project helped facilitate among the target communities.

There were also no synergies/linkages coordinated with other UNDP CO and GEF-financed interventions in South Africa or in the region.

3.1.8. Management Arrangements

UNDP acted as the Implementing Agency for the Project, and the lead implementing partner was the Eastern Cape Parks and Tourism Agency (ECPTA), a parastatal organization established a couple of years before the start of the Project. A co-management assistance support unit (CASU) was formed within the ECPTA to implement the Project, as illustrated in the organization chart in **Exhibit 6**.

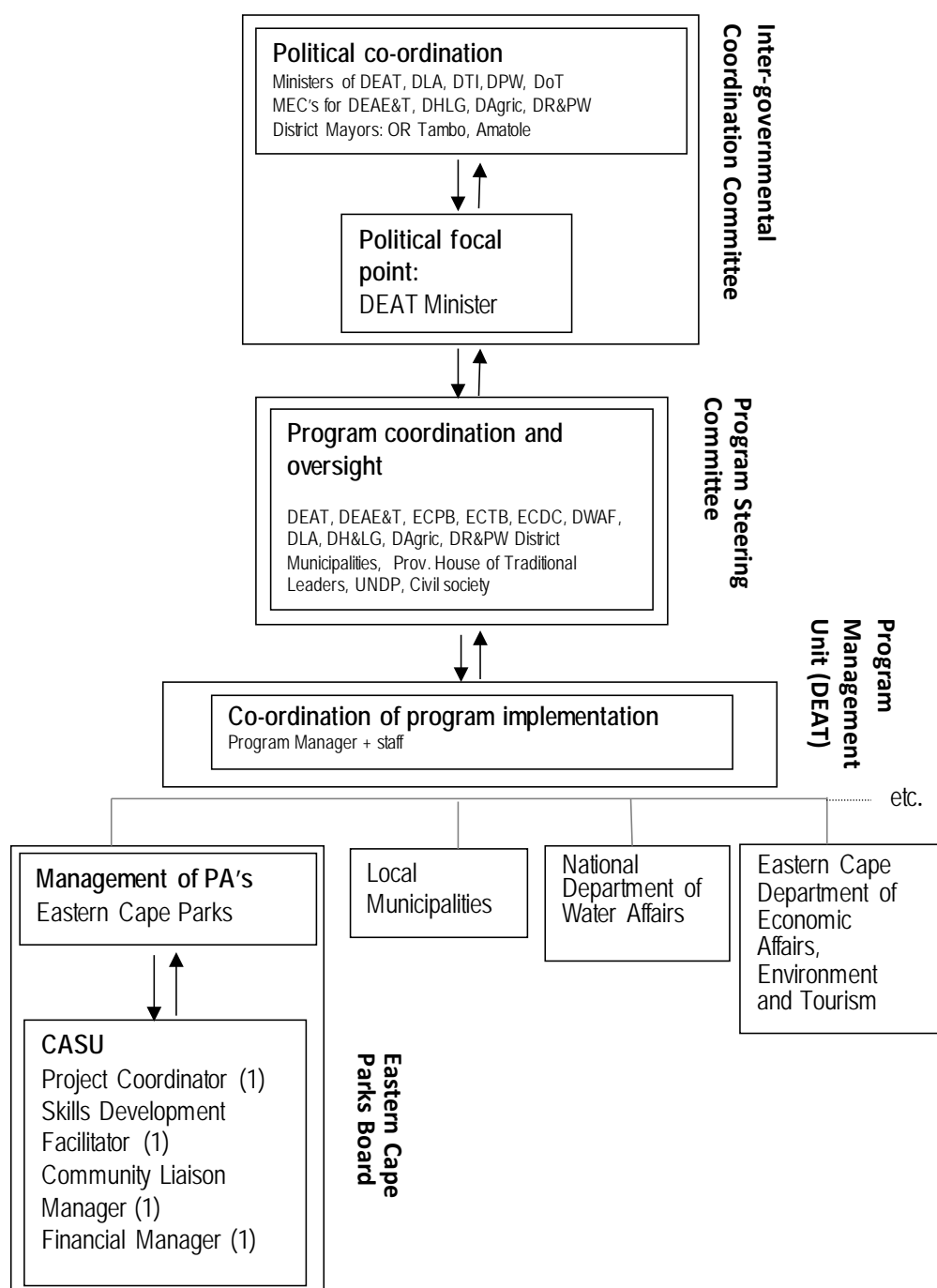


Exhibit 6: Management Arrangements (source: project document, 2005)

The CASU was comprised of a project coordinator, a financial manager, a community liaison manager, and 6 community outreach officers. The skills development facilitator was part of the permanent staff until 2010, when he resigned. He was not replaced as the contract of the service provider was extended. Other positions, including a conservation planner, were hired under contract arrangements. Staffing of the CASU was a bit skewed toward conservation and less so focused on socio-economic issues, including business training and development for the micro-enterprises.

Implementation of the Project was primarily at the provincial level and centred on management of PA's, indeed, as outlined in **Exhibit 6**. The CASU did manage to collaborate with some other local and provincial authorities, including the Eastern Cape DEDEAT, which is administering the Integrated Wild Coast Development Program (IWCDP). The Project substantially contributed to the DEDEAT's efforts, mainly through supporting the development of the Environmental Management Plan for the Wild Coast, which provides a spatial planning framework. One of the shortcomings of the Project, however, was the limited collaboration between provincial and national level stakeholders. Based upon findings gathered during TE interviews, this seems to be a reflection of a general lack of inter-agency coordination in the county, and seemingly, particularly the case in the Eastern Cape. While the project did reach out to relevant stakeholders, the scope was primarily confined within the conservation sector, including interaction with the DEDEAT and the regional DAFF office. There was less involvement with those stakeholders having more socio-economic mandates, such as municipalities, the Department of Rural Development and Land Affairs, and the Department of Traditional Authorities.

Although provinces in South Africa have a large amount of autonomy and discretionary spending power, national stakeholders still play an important role, and an overall Project coordination function at the national level did not materialize as envisioned in the project design, with DEA acting as programme manager (see **Exhibit 6**). For example, while the DEA administered parallel co-financing interventions in the Wild Coast, e.g., through the Working for Water programme¹, these activities were not integrated with Project. To be fair, the Working for Water programme and similar ones were formed under the DWAF and later transferred to DEA. Because of this, the DEA were somewhat hamstrung to effectively integrate how these funds were allocated within the lifespan of the Project.

Besides the DEA, there are other national level stakeholders that could have contributed to the Project, if coordination was better managed. DAFF, for example, is a national-based authority, with regional offices across the country, and these regional offices have less discretionary flexibility than the provincial departments under the DEA. The Project had close interaction with the regional DAFF staff, but only engaged with the national level DAFF representatives rather late in the process, in 2012.

National stakeholders did participate in the Project Steering Committee, but the agencies did not always send people authorized to make decisions and the meetings were held roughly twice per year; maybe sufficient for project oversight, but an insufficient frequency as a coordination function. The Inter-Governmental Coordination Committee, which was envisaged to include ministers of DEAT, DLA, DPW, DoT, and others, as well as MECs of DEDEAT and other provincial authorities, and mayors of district and local municipalities, did not functionally materialize, as the Project was apparently not sufficiently large or politically sensitive to attract such high-level involvement.

As it became more and more evident during the course of the Project that input from national level stakeholders, including DEA, DAFF, DRD&LR, among others, was important to facilitate the processes of proclaiming expanded protected areas and resolving settlement claims, it might have been useful to include a position within the CASU who could interact with these organizations,

¹ The Working for Water (WfW) programme was launched in 1995 and administered previously through the Department of Water Affairs and Forestry and now the Department of Environmental Affairs. The programme works in partnership with local communities, to whom it provides jobs, and also with Government departments including the Departments of Environmental Affairs and Tourism, Agriculture, and Trade and Industry, provincial departments of agriculture, conservation and environment, research foundations and private companies. (www.environment.gov.za)

allowing the core team to focus their time on the ground with capacity building, monitoring, and planning support.

3.2. Project Implementation

3.2.1. Adaptive Management

There were a number of exogenous conditions impacting the implementation of Project, including:

- The Eastern Cape Parks Board merged with the Tourism Agency (and this process resulted in some management changes and temporary moratoriums on hiring and procurement);
- Management of the marine protected areas (MPAs) in the Eastern Cape was assigned from Marine and Coastal Management to the ECPTA;
- On a national level, Forestry was moved from the Department of Water Affairs and Forestry into the Department of Agriculture, forming the Department of Agriculture, Forestry and Fisheries;
- Assignment of responsibility for various governmental social responsibility programmes were reshuffled, including transferring the Working for Water programme from DWAF to the DEA;
- National and local elections were held in 2011, which led to further restructuring and changes in certain management posts;
- The DBSA went through extensive reorganisation, including curtailing their grant type financing for development initiatives and rather focusing on extending credit for infrastructure projects;
- The UNDP CO Environment and Energy Programme Manager changed over the period 2007-2013, as did the GEF RTA;
- There was very little change in resolution of the settlement agreements for most of the targeted communities; and
- The global economic crisis from 2008-09 had profound impacts on economic output and provision of public services in the Eastern Cape during this period.

Although the logical results framework of the Project was not changed, the Project did a reasonably good job in adaptive management in response to some of the issues listed above. For example, even without formalized co-management agreements, the Project hired community members to work as reserve guards and invasive vegetation clearing labourers, and effectively demonstrated how PA management effectiveness can be improved under such communal, participatory management.

In response to the ECPTA being assigned management responsibility for the MPAs in the province, the Project significantly contributed to strengthening the agency's capacity in this realm, as they had limited in-house expertise for this expanded mandate. The Project procured two patrol boats for the ECPTA and facilitated trainings for the boat skippers, and also supported the preparation of three separate estuary management plans for the estuaries of the Mtentu, Msikaba, and Mbashe Rivers. Also, the Pondoland line fish surveys have been recognized by national experts as being very important, showing the important role of Wild Coast MPAs.

Considering the low awareness among the target communities regarding conservation issues, the Project sponsored an extensive environmental education programme, including 57 local schools.

And, in the spirit of co-management, community representatives were invited to participate in Project Steering Committee meetings. Based on interviews with both community and governmental stakeholders, this participation was very successful in bridging the two sides together.

Certain, external circumstances were beyond the control of the Project, most notably including the legal constraints in resolving the land settlement claims. This proved to be a significant shortcoming, as co-management agreements could not be concluded without first reconciling these legal issues.

Coordinating the Project priorities with national level stakeholders was a challenge for the team, as resources were mostly directed toward community and provincial interactions. An additional CASU staff person, responsible for national stakeholder management, might have improved overall coordination, particularly over this time period when there were a number of institutional changes.

3.2.2. Partnership Arrangements

Apart from the Project document, approved in 2005-06, there were no formal partnership arrangements regarding project implementation. At the local level, the main partners were the ECPTA, DEDEAT, and the DAFF regional office. There were discussions of assignment targeted indigenous forests to the ECPTA, but it seems that the concerns regarding such an arrangement, mostly from DAFF, who would stand to lose some of their staff, extend beyond the scope of the Project. The terminal evaluator was informed by DEA and DAFF national stakeholders that the Eastern Cape might be the last province to transfer management of indigenous forests to a conservation agency. The Project developed a draft MOU between the ECPTA and DAFF regarding the joint management of areas like Silaka Nature Reserve (ECPTA) and the adjoining Mt Thesiger (DAFF), however the MOU was never seriously discussed by the two agencies.

As mentioned earlier, under the Management Arrangements discussion, there was a lack of national level coordination, partly because the envisioned Wild Coast Programme to have been administered by the DEA was not realized. The Project would have benefited from some form of partnership arrangement that could have formalized the role of the DEA, DAFF, and other national stakeholders.

3.2.3. Feedback from M&E Activities used for Adaptive Management

Feedback from M&E activities was mostly followed up through progress reports (PIRs/APRs) and Project Steering Committee meetings. The Steering Committee met roughly twice per year, and attendance was generally good, except for national level stakeholders not always providing sufficiently senior officials. As the meetings were held in East London, this is partly understandably, because of the time required for travel. Based upon review of Steering Committee meeting minutes, the meetings seemed to have been active, with discussions on both project progress and constraints. There was, however, limited evidence of following up on some of the recommendations, such as improving coordination of Project co-financing spending and facilitating resolution of legal obstacles surrounding the land settlement agreements.

3.2.4. Project Finance

Co-Financing

A total of USD 24.318 million in co-financing was indicated in the approved Project proposal. The majority of this sum, USD 20 million, was allocated under Outcome 3, specifically the DEA and DAFF were indicated to have committed to USD 5 million each for active management interventions, and USD 10 million was specified from the DBSA in support of micro-enterprises.

Endorsement letters from the individual co-financing sources were unavailable for review at the time of the terminal evaluation; the evaluator downloaded a 14 March 2005 dated endorsement letter on the GEF website that was issued by the Wild Coast Project (the team that prepared the project document), but there was only the sum of USD 24.318 million indicated and the funding sources listed. Based upon financial records¹ compiled by the CASU and findings obtained during the TE, planned vs. actual co-financing figures are compiled below in **Exhibit 7**.

| Exhibit 7: Co-Financing Table | | | | | | | |
|--|---------|------------------|--------------|---------------------|-----------|--------------------------|--------------|
| Co-Financing Source | Type | Government (USD) | | Other Sources (USD) | | Total Co-Financing (USD) | |
| | | Planned | Actual | Planned | Actual | Planned | Actual |
| Co-Financing for Project Preparation | | | | | | | |
| DEAET | In-Kind | | \$276,500 | | | | \$276,500 |
| DBSA | Cash | | | | \$160,000 | | \$160,000 |
| Total Co-Financing for Project Preparation: | | | \$276,500 | | \$160,000 | | \$436,500 |
| Co-Financing for Project Implementation: | | | | | | | |
| ECPTA: | | | | | | | |
| Contribution of Staff time | Cash | \$2,608,000 | \$454,053 | | | \$2,608,000 | \$454,053 |
| Strengthening institutional capacity for co-management | In-Kind | | \$5,472,201 | | | | \$5,472,201 |
| DEA: | | | | | | | |
| Environment (unspecified) | Cash | \$5,830,000 | \$3,825,503 | | | \$5,830,000 | \$3,825,503 |
| Active management interventions | In-Kind | | \$6,737,988 | | | | \$6,737,988 |
| Marine and Coastal Management | | | \$5,926,254 | | | | |
| Adaptive planning management systems | In-Kind | \$750,000 | \$142,027 | | | \$750,000 | \$142,027 |
| DAFF: | | | | | | | |
| Active management interventions | In-Kind | \$5,000,000 | \$929,438 | | | \$5,000,000 | \$929,438 |
| DBSA: | | | | | | | |
| Micro-enterprises (planned) | In-Kind | | | \$10,000,000 | \$0 | \$10,000,000 | \$0 |
| Province (Eastern Cape): | | | | | | | |
| Adaptive planning management systems | In-Kind | \$100,000 | \$0 | | | \$100,000 | \$0 |
| Municipalities: | | | | | | | |
| Improving institutional capacity for co-management | In-Kind | \$30,000 | \$0 | | | \$30,000 | \$0 |
| Total Co-Financing for Project Implementation: | | \$14,188,000 | \$23,487,464 | \$10,000,000 | \$0 | \$24,318,000 | \$17,561,210 |

Notes:

Co-financing information obtained from the CASU financial manager, desk review, and interviews.

There was no breakdown available for the co-financing expended by ECPTA, DEA, and DAFF.

The DBSA supported funding of a strategic environmental assessment prepared during the preparation phase (ZAR 1 million at 6.3 ZAR:USD exch rate in Dec 2005).

Co-financing contributions from the ECPTA exceeded, in fact are more than twice as much as the USD 5.83 million committed. ECPTA co-funded salaries of some of the CASU staff, including for the financial manager, project administrator, and community liaison officer, at 60%, 100%, and 30%, respectively. The community liaison officer's salary was indeed fully supported by the ECPTA between October 2007 and November 2011². Besides support of staff costs, break downs of the other contributions from ECPTA were unavailable. This was also the case for the more than USD

¹ Excel file: Workings for PIR 2014 11 May 2014 (CASU)

² Project Steering Committee meeting minutes, 31 December 2012.

10 million in co-financing from the DEA. Based upon interviews with DEA representatives, the evaluator learned that some of the DEA co-funding activities were expended on social responsibility projects, such as the Working for Water programme, but there was generally a lack of tracking of how the co-financing was being allocated. Part of the problem was related to institutional restructuring, e.g., the Working for Water programme was first assigned to the DWAF but later responsibility of the programme was transferred to the DEA, and this change resulted in limited time available for the DEA to align with the Project priorities.

According to GEF definitions, government co-finance (counterpart commitments), such as that earmarked from the DEA and DAFF (and also from DBSA), is *“for baseline or foundational activities upon which the project would build or without which the project could not be implemented”*¹. In practice, there is often a fine line between this type of funding and that of “associated financing”, which is not considered co-financing under GEF guidelines. Associated financing is defined as *“finance for other activities that are related to the project or to similar commitments but which is not essential for the project’s successful implementation”*. Such interpretation distinctions highlight the importance of providing clarity to co-financing partners on reporting and tracking expectations.

Co-financing contributions from DBSA are indicated as zero in Project progress reports, most recently in the 2013 PIR. Upon interviewing a representative from the DBSA and reviewing available records, this assessment of zero co-financing requires some explanation. The DBSA did provide direct funding of ZAR 1 million (approx. USD 160,000 at 2005 exchange rates) in support of the Wild Coast strategic environmental assessment, that was carried out during the Project preparation phase. During the implementation phase of the project, 2007-2013, the DBSA invested a great deal of time and grant funding in the Wild Coast on bioregional planning and spatial development planning and GIS system development in municipalities, and land-use management systems. The bank also funded capacity building on biodiversity matters, which directly flowed from the Project. DBSA invested in sustainable community programmes and infrastructure development initiatives, and based upon testimonial evidence, the total amount of money probably added to more than USD 10 million. The evaluator considers this support by DBSA as associated financing, as there were no detail breakdowns available and the efforts were not coordinated with the Project. Nevertheless, the contributions from the DBSA to biodiversity conservation and local economic development in the Wild Coast were significant.

Allocating the entire USD 10 million of DBSA co-financing toward supporting micro-enterprises does not match the funding profile of DBSA, even back in 2005, when the bank was involved in more development, philanthropic type activities, and especially over the past few years, after the bank went through a considerable restructuring and is now mostly extending loans for infrastructure projects. It was also unrealistic. Technical and business management capacities are low within the targeted, impoverished communities, so expecting that the Project could identify potential enterprises, deliver skills training, and produce bank-able business plans within the 5-year implementation phase was highly unlikely. Although there were requests² to the DBSA to provide grant funding to the Project, there was no evidence of formal financing applications submitted to the DBSA, according to the bank’s procedures and conditions. Moreover, capacities of the local communities remain low at the end of the Project, basic infrastructure such as electricity is not secured to support some enterprises like the sewing ones, and business planning, including marketing, has not yet been carried out.

¹ GEF/C.20/6/Rev. 1, 2003, Cofinancing.

² For example, Project Steering Committee meeting on 25 November 2010.

It might have been more reasonable to tie DBSA and/or other co-financing into an exit strategy at the planning phase. Such arrangements fall within GEF co-financing guidelines: *“Funds that are expected to be mobilized in future for follow-on or replication activities, even though implementation of the project would proceed before mobilization is confirmed”*¹. Under current circumstances, the DBSA, however, might not be the most suitable financing institution to support micro-enterprise development. The bank would likely only support grant financing if linked to a large infrastructure loan, such as the approved new stretch of the N2 motorway.

The amount of co-financing realized for project implementation was not insignificant: approx. 72% (USD 17.56 million) of the USD 24.318 million committed was realized. The main weakness with respect to co-financing was the general lack of coordination and integration of the contributions. Co-financing tracking and reporting should have been worked out at the inception phase of the project, and regularly followed up throughout the implementation period. The CASU staff brought this to the attention of the Project Steering Committee, but no improvements were made by the end of Project. As this was the first time the ECPTA worked as a lead implementing partner for the UNDP on a GEF-financed project, the UNDP CO also should have provided more support to the CASU on co-financing tracking and also should have played a more active role in communicating the agency's co-financing expectations to the various government counterparts and the DBSA.

In addition to the co-financing sums outlined above, the Project was successful in securing approximately USD 8,000 (ZAR 81,428) in leveraged resources from WESSA, in support of development of support materials for the environment education curriculum.

Financial Expenditures and Control

The CASU included a full-time financial manager, who remained on the Project from the beginning, adding good continuity to financial control. Financial expenditure records were found in order and well managed. The CASU has also maintained a detailed asset register for items procured as part of the Project, and they have developed an asset distribution plan upon Project closure. It was a bit difficult to obtain outcome-based breakdowns of actual expenditures, as the Project pulled out some activities into separate categories for a few of the years, but the team did confirm the year by year cost distribution presented below in **Exhibit 8**.

| Exhibit 8: Comparison of Planned vs. Actual Expenditures, Outcome Breakdown (figures are in USD) | | | | | | | | | | | | | | | | | | | |
|--|-------------|-----------------|--------------|---------------|-------------|---------------|-------------|---------------|-------------|---------------|-------------|---------------|-------------|---------------|-------------|---------------|--------------|--------------|-----------------|
| Outcome | Total | | Year 0: 2006 | Year 1: 2007 | | Year 2: 2008 | | Year 3: 2009 | | Year 4: 2010 | | Year 5: 2011 | | Year 6: 2012 | | Year 7: 2013 | | Year 8: 2014 | |
| | Prodoc Plan | Actual Expend.* | Actual | Annual Budget | Actual Exp. | Annual Budget | Actual Exp. | Annual Budget | Actual Exp. | Annual Budget | Actual Exp. | Annual Budget | Actual Exp. | Annual Budget | Actual Exp. | Annual Budget | Actual Exp. | Plan Q1 | Actual (31 May) |
| Outcome 1 | \$2,442,200 | \$3,029,943 | | \$284,539 | \$244,911 | \$718,186 | \$512,982 | \$806,404 | \$524,029 | \$919,736 | \$634,632 | \$412,430 | \$385,525 | \$294,649 | \$427,538 | \$324,324 | \$244,626 | \$85,781 | \$55,699 |
| Outcome 2 | \$1,496,000 | \$1,296,717 | | \$5,714 | \$0 | \$129,658 | \$51,517 | \$327,726 | \$257,140 | \$211,107 | \$313,812 | \$301,078 | \$494,234 | \$79,609 | \$147,241 | \$21,031 | \$32,772 | \$0 | \$0 |
| Outcome 3 | \$2,561,800 | \$1,921,143 | | \$0 | \$0 | \$0 | \$43,992 | \$392,652 | \$75,917 | \$646,011 | \$109,230 | \$824,635 | \$226,615 | \$878,215 | \$680,519 | \$866,269 | \$671,557 | \$161,580 | \$113,311 |
| Total | \$6,500,000 | \$6,239,024 | \$9,951 | \$290,253 | \$244,911 | \$847,844 | \$608,492 | \$1,526,782 | \$857,086 | \$1,776,854 | \$1,057,674 | \$1,538,143 | \$1,106,375 | \$1,252,473 | \$1,255,299 | \$1,211,624 | \$948,955.00 | \$247,360 | \$150,281 |
| Surplus: \$260,976 | | | | | | | | | | | | | | | | | | | |

*Through 31 May 2014

Actual expenditures increased yearly until peaking in 2012, when approx. USD 1.25 million was spent. The required time for building trust and capacity among the communities was underestimated in the design, as reflected in cost distribution above in **Exhibit 8**.

In addition to the financial expenditure records provided by the CASU, the UNDP CO provided combined delivery reports (CDRs) for each year, from 2006, when a bit less than USD 10,000 was spent through 19 May 2014. These CDRs indicate expenditures broken down by Atlas code, the UN cost system; but, not broken down by outcome. The terminal evaluator finds the usefulness of such reports limited; it would be advisable to at least provide outcome-based breakdowns.

¹ GEF/C.20/6/Rev. 1, 2003, Cofinancing.

Project management costs were not broken down separately, in the project design or during implementation. Typically, on such GEF-financed interventions, project management costs are targeted at no more than 10% of the value of the GEF grant. As indicated earlier, co-financing from the ECPTA covered a large proportion of the CASU staff costs, supporting the financial manager, project administrator, and the community liaison officer. These contributions effectively shifted some of the project management costs to the co-financing partners. There were, however, no-cost time extensions totalling about 3 years, and such extensions do introduce a degree of inefficiency, as the project management team remained mostly in place for the extended time period.

Similarly, there was no evidence of tracking monitoring & evaluation costs. The M&E plan stated an indicative cost of USD 290,000. Most of the activities within the plan were carried out; it would be useful to document the actual costs of these.

Independent financial audits were completed for each year of implementation; PWC conducted the audits in 2007 and 2008, and Deloitte carried the audits in the years 2009 through 2013. There were a few recurrent issues raised in the audits, including the lack of a written co-financing agreement between UNDP and ECPTA, to formalize the contributions the ECPTA made toward CASU salaries. Differences in accounting systems yielded some findings in the audits, as the Project followed standard South African accounting procedures, which are accrual-based, while UNDP uses an expenditure-based system. There were a couple high severity findings in the past few years, including in 2011, when reimbursements received from ECPTA for bonuses paid from UNDP funds were incorrectly recorded, and in 2010, when a material difference was noted between the amount reported by the implementing partner and that recorded in the UNDP combined delivery report. The audit reports include statements by the implementing partner and the UNDP to implement corrective actions, and the issues raised in the previous audit year were checked in subsequent years.

3.2.5. Monitoring & Evaluation

Monitoring & Evaluation design at entry is rated as: Moderately Satisfactory

The monitoring & evaluation (M&E) plan was reasonably extensive, starting with the inception report and workshop, outlining the type and frequency of progress reporting, and including independent financial auditing and evaluation. Use of the METT was also incorporated into the M&E plan, which not only aims to quantify improvements facilitated in effectiveness of managing the PA's, but also contributes to the core activities of the ECPTA.

The total indicative cost for Project M&E was 290,000 USD, which is approx. 4.5% of the USD 6.5 million GEF grant. This cost level is within generally acceptable ranges, typically 3-5% of total cost.

Monitoring metrics were thoroughly explained in the M&E plan, for each of the outcome indicator targets, and there was a good deal of participation envisaged by the main institutional beneficiary, the ECPTA. Community involvement was, however, under-represented in the M&E plan. Training and eventually employing community members and/groups, for example, in biodiversity monitoring (flora and fauna inventories, etc.), might have further empowered communities and enhanced sustainability of the Project benefits.

Not incorporating baseline monitoring, of both biodiversity inventories and socio-economic conditions, is considered a shortcoming, as the lack of such information restricted how attainment of the Project objective could be assessed. The importance of baseline activities for such projects

is highlighted a recent publication released by the Scientific and Technical Advisory Panel (STAP) for GEF¹.

Monitoring & Evaluation implementation is rated as: Moderately Satisfactory

The Project did a good job in terms of preparing progress reports; which were found to be well written, reasonably candid about progress and constraints, and inclusive, with key institutional stakeholders contributing. Independent financial audits were arranged each year of implementation, and a mid-term review was made in late 2011, which was about 3-1/2 years into the 5-year project. Although a formal management response to the mid-term review recommendations was not available, a summary of how the Project team responded is presented below and based upon findings compiled during the TE:

| Mid-Term Review (MTR) Recommendation | Comments by Terminal Evaluator on Management Response to MTR Recommendations |
|--|---|
| Outcome 1: Institutional framework and capacity in place | |
| Concurring with the Project coordinator, three additional outreach officers should be hired. | Additional outreach officers not hired, but the Project did hire an experienced conservation officer to assist with training, deployment, and monitoring within the southern development node. |
| Communicate improved management effectiveness and required operation costs to DEDEAT and ECPTA management, providing them with information to support decisions on adjusting operational budget allocations. | Management of DEDEAT and ECPTA were informed of the improved management effectiveness when additional reserve guards and IAS technicians were employed from the community. In response, the ECPTA recruited and appointed some 80 community forest rangers at various provincial nature reserves. The benefits were also communicated to national level government stakeholders, including DAFF, who indicated that they are using the lessons learned on the Project in their strategic planning, e.g., as they do not have the budget to increase staff across the board, they are considering assigning more forest guards for critically important forests. |
| Lobby national DAFF staff to increase operational budget for indigenous State forests. | The DAFF has had a moratorium on hiring new staff in place for the past 3 years (since 2010). As indicated above, the DAFF is looking at ways to increase staff for critically important forests as an adaptive measure. |
| Finalize a co-management "tool kit", documenting best practices supported by the Project. | Although there are commonalities among the targeted communities, the issues facing them in terms of their co-management agreements are somewhat site-specific. And, the first and perhaps most critical challenge was building trust among the communities. These types of interactions are difficult to document into a "tool kit" format. Decision makers could benefit with documented case studies on how increased staffing resulted in improved management effectiveness of protected areas, with quantifiable results, e.g., reductions in poaching, |

¹Pullin, A.S. et al. (2014). 'Assessing the Effects of Terrestrial Protected Areas on Human Well-being: A STAP Advisory Document'. Global Environment Facility, Washington, D.C.

| Mid-Term Review (MTR) Recommendation | Comments by Terminal Evaluator on Management Response to MTR Recommendations |
|--|---|
| | decrease in recurrence of invasive vegetation, etc. |
| Develop a MOU between the ECPTA and DRD&LR to define roles and responsibilities associated with co-management of protected areas on communal land. | <p>As experienced at reserves where there are co-management agreements in place, such as Mkambathi, roles and responsibilities have been agreed upon between the ECPTA, a community property association or similar legal entity representing the communities, and other involved parties, including private sector organisations. Management of protected areas does not fall within the mandate of the DRD&LR, but this institution should play a more active role in supporting the communities in overcoming their legal woes in reaching fulfilment of the terms and conditions stipulated in their respective settlement agreements.</p> <p>From a protected area management perspective, reaching an understanding/agreement between the ECPTA and the DAFF would facilitate certain issues, including the management of the Silaka nature reserve and the adjoining Mt. Thesiger State forest.</p> |
| Finalize the monitoring & evaluation system. | <p>The ECPTA is using the METT as a monitoring tool to assess management effectiveness. The METT is adopted in South Africa for tracking the management effectiveness of protected areas, and indeed the DEA is actively working on further improving and adapting the tool, e.g., by integrating community involvement as a variable.</p> <p>The terminal evaluator feels that efforts should be made at further adapting the METT and other nationally accepted tools, rather than developing a unique M&E system for the Wild Coast.</p> |
| Document and formalize the communication strategy deployed at the target Project communities. | <p>The terminal evaluator partly agrees that a communication strategy could capture lessons learned in communicating with communities, but each community has specific circumstances and effective communication is largely dependent upon the human dimension</p> <p>The Project did indeed follow a communication strategy, which the CASU team is reportedly formalizing as part of the final project report. The communication strategy consisted of:</p> <ol style="list-style-type: none"> 1. Establishing representative community forums (i.e. PFMCs, Trusts, Co-operatives) which met on average every three months to discuss project progress to date and the next targets; 2. Appointing outreach officers from the community to serve as a communications bridge between the government agencies (i.e. DAFF and ECPTA) and the communities. The Community Liaison Officer also played a vital role in the communications strategy; |

| Mid-Term Review (MTR) Recommendation | Comments by Terminal Evaluator on Management Response to MTR Recommendations |
|---|---|
| | <p>3. Initiating the environmental education competitions and teacher training programs to promote environmental awareness and the work of the project in schools;</p> <p>4. Co-ordinating at least two PSC meetings per annum during which all primary stakeholders (including the community representatives) were provided with narrative and financial progress reports; and</p> <p>5. Drafting and distribution of quarterly, PIR and annual reports for primary stakeholders.</p> |
| Pursue efforts to obtain additional co-financing (e.g., from CEPF) to support completion of sustainable use plans for those resources that are under particular high anthropogenic pressure (e.g., reef fish and mussels). | Additional co-financing had not been secured by the end of the Project, but the CASU team is active in discussions with potential donors, including with support from the CEPF. According to the Project Coordinator, several REDD applications were submitted without success, as it appears the relatively small forest patches in the Wild Coast are too small to attract interest among donors. The Project is discussing a more focused approach with the WWF, offering potential partners "boutique forest reserves" which would complement their BEE status. |
| Encourage the MEC of the DEDEAT to engage the minister of the DRD&LR in resolving unfulfilled settlement agreements. | In some of the target communities, and elsewhere in South Africa, more than 10 years have passed with essentially no movement regarding legal constraints holding back fulfilment of settlement agreements. Indeed this was identified as a substantial risk in the Project design, but the relevant government stakeholders were not actively engaged in assisting the Project in facilitating resolution of these legal issues. |
| The ECPTA should increase budget allocation for their Parks and People programme. | The ECPTA hired the Project community liaison manager to be the People and Parks officer for the eastern region of the province, and eventually she was hired as People and Parks manager for the entire province. This demonstrates a certain level of commitment by the ECPTA in investing in community relations, and is a significant contribution in terms of continuity with respect to community integration into an expanded PA estate in the Province. |
| Outcome 2: Management effectiveness is enhanced within a rationalised and more representative system of strict protected areas, operating under co-management agreements with local communities and the private sector | |
| Continue delivering capacity building support to the target communities, particularly those where trainings have not yet been made. | The Project continued to engage communities and facilitate capacity building opportunities for them, throughout 2012 and into 2013. It was not practicable to engage communities at each of the 12 protected areas concurrently, so there was a somewhat sequential approach implemented, with some communities included rather late in the Project's lifespan. Priority areas were identified for project intervention |

| Mid-Term Review (MTR) Recommendation | Comments by Terminal Evaluator on Management Response to MTR Recommendations |
|--|--|
| | based on recommendations of the Conservation Planner employed by the CASU. These areas were then prioritised and the communities approached through the traditional leaders. They “came on board” as the project Community Liaison Officer made contact and initiated negotiations. The recruitment process was in fact terminated in 2012 when it became clear that the Project would not be extended and that resources were limited. In fact, four more communities (Wavecrest, Willowvale, Ntafufu and Mbotji) requested to be included in the programme but could not be accommodated. |
| Outcome 3: A functioning network of managed resource use protected areas is in place and is being effectively managed in active collaboration with local communities | |
| Intensify partnerships with local and district municipalities, in order to maximize synergies between local economic development priorities and management of protected areas. | The Project was generally designed on a conservation-centric perspective, even though socio-economic factors are the main driving forces behind involving local communities in protected area management. The Project did make valuable contributions to the DEDEAT Environmental Management Framework, which serves as sustainable development guideline for municipal planners and developers. |
| Fast-track establishment of micro-enterprises and also manage expectations among community members regarding the timeliness of Project-facilitated benefits. | There simply was not enough time to meaningfully address micro-enterprises, considering the low baseline capacities and the considerable time and resources required to build trust among the communities. The Project would have benefited from a detailed socio-economic baseline and marketing study of the target communities, so that skills training and eventual micro-enterprise development could have been better directed. Linkages between micro-enterprises and local economic development priorities would have been sensible to incorporate into an exit strategy, which might have possibly better ensured further support beyond the GEF funding timeframe. |
| Submit a proposal to the DAFF, for assigning management responsibility of target State forests to the ECPTA. | Assignment of management responsibility was not realized by the end of the Project. This issue has been debated for a number of years, not only as part of this project, and the entrenched reluctance among the involved stakeholders was beyond the Project’s control to influence. |

The weakness in the implementation of the M&E plan starts with the inception phase: the inception report was unavailable for review. The Project Coordinator, who started after two previous coordinators resigned over the course of the first two years, had also not been provided with the inception report. The inception phase is critical, when circumstances that might have changed since completing the project design should be assessed and adjustments considered for the logical results framework, implementation approach, and other procedures. No such

adjustments were made, and also not after the mid-term review (MTR), albeit the MTR was rather late (end of 2011) and it was difficult to affect significant changes at that stage.

The terminal evaluator reviewed some draft files, prepared in 2011, when there were considerations to make modifications to the logical results framework, but these changes were not realized. There seemed to have been a general lack of guidance from UNDP CO and the GEF RTA on results based management practices on GEF-financed projects.

While there is strong anecdotal evidence supporting the improved PA management effectiveness during the time when the Project facilitated augmenting management and maintenance staff with community members, there is limited quantified data compiled, implying that monitoring was rather weak during this process.

3.2.6. UNDP and Implementing Partner Implementation / Execution

Quality of UNDP Implementation is rated as: Satisfactory

UNDP CO staff and the GEF regional technical advisor provided input to Project progress reports and participated in some of the Project Steering Committee meetings. And, internal ratings provided in the PIRs/APRs were generally consistent with the TE ratings.

The terminal evaluator was provided with back-to-office reports prepared by the UNDP GEF-RTA; there seems to have been considerably more involvement by UNDP during the preparation phase (PDF B) and the first couple of years of implementation. The Project inception report was not found, indicating a fairly weak paper trail during the early phases of Project implementation. The current Environment and Energy Programme Manager at the UNDP CO has been in her position less than 2 years, and there seems to be very little in terms of a paper trail to assist her in overseeing this project. The UNDP CO has recently made efforts to improve overall M&E, but the M&E coordinator has not been provided with resources to visit project sites or make meaningful contributions to project implementation, e.g., participating in inception workshops or delivering training to project managers on results based management. Also, the 2013 ROAR (Results Oriented Annual Report) did not contain any mention of the Wild Coast Project.

This was the first project implemented for UNDP by the ECPTA, which was a rather new agency at the time when the project was approved back in 2005. Considering that the ECPTA was a new partner, the UNDP CO could have been more proactive to ensure that the CASU staff and ECPTA management were trained on project management procedures and expectations from a lead implementing partner on such a project.

The UNDP CO has had several complementary projects running over the course of the Wild Coast project, from 2007 to 2013, including ones involving biodiversity and poverty alleviation. There are also many other similar GEF-financed projects running throughout southern Africa and in other countries. Despite this wealth of project knowledge and experience, there was no evidence of synergies coordinated with the Wild Coast project. In fact, DEA and ECPTA stakeholders indicated that they were instructed not to include any follow up to the Wild Coast project in the next GEF funding cycle; presumably they were informed that GEF only funds one, single 5-year intervention. The terminal evaluator has worked on several GEF-financed projects, including in Africa, Asia and the Pacific, Central Asia, and Eastern Europe, and these instructions are not consistent with his experience. It seems that the governmental stakeholders were not sufficiently informed that they could have proposed additional activities in the Wild Coast, if the GEF incremental benefit policy was fulfilled.

DEA officials indicated that they certainly would have included the Wild Coast in the GEF action plan, as this area remains a national priority, both in terms of the impoverished socio-economic conditions but also because of the rich and unique biodiversity. Extending funding to different protected areas in South Africa, while the situation in the Wild Coast is unsustainable, does not seem sensible, particularly because the Wild Coast project was meant to be a model in co-management arrangements. Follow-up support to the Wild Coast should be considered, if there is compelling commitment by national counterparts. But, evidence of such commitment is questionable. In many ways, the situation at Project closure regarding co-management arrangements is not much different from the baseline condition when the Project was designed. It is not a question of spending money, as the government has expended a great deal funding in the Wild Coast in recent years on local economic development initiatives and biodiversity conservation. But rather the combined issues of unresolved legal constraints, inefficient inter-agency collaboration, and challenging socio-economic circumstances within the rural Wild Coast communities present a lingering hindrance to moving forward with co-management arrangements.

Quality of Implementing Partner Execution is rated as: Satisfactory

The CASU did a good job at coordinating the Project. The community liaison officer was well respected among the target communities and was able to build a high degree of trust among the local, traditional authorities. The outreach officers also were able to keep the Project priorities high on the agenda of representative community forums; the terminal evaluator observed a distinct difference in the capacity of such community structures between one where there was an outreach officer appointed (Silaka) and where there was not (Manubi). The financial manager provided a consistently high level of control over financial expenditure, procurement, and reporting. Finally, the Project coordinator did a commendable job at facilitating a collaborative spirit among the target communities and spear-heading a wide-range of advocacy efforts, including environmental education, outreach to both provincial and national stakeholders, and search for opportunities for extending support after GEF funding ceases. The coordinator did seem to have shouldered an uneven proportion of responsibility, including for management of certain risks that were beyond the control of the Project.

Co-financing commitments from the ECPTA have exceeded the amounts pledged in the approved Project proposal, including covering quite large proportions of some CASU staff salaries. There were some apparent difficulties in integrating the CASU into the overall organization of the ECPTA, e.g., as evidenced by the fact that community members¹ seemed to connect the Project efforts with the ECPTA, but rather as an independent effort. Partly, this seems to have been the result of some personality conflicts between ECPTA and CASU managers. During the later stages of the Project, there was evidence of the ECPTA making specific steps toward integration of co-management principles into their strategic planning process. For example, the ECPTA has hired the Project community liaison officer for a full-time position as people and parks manager, for the entire Province. Also, a draft policy on co-management of protected areas was prepared under direction of ECPTA management in August 2013.

¹ Based upon a limited sampling of community members interviewed during the TE.

3.3. Project Results

3.3.1. Attainment of Objective and Outcomes: Effectiveness

Attainment of the Project Objective and Outcomes is rated as: Moderately Satisfactory

Supporting Evidence:

- + Meaningful and inclusive participatory land use planning, resulted in the gazetting of the DEDEAT Environmental Management Framework;
- + Demonstrated improvement in PA management effectiveness under communal participatory management (even without formal co-management agreements);
- + Expansion of Protected Areas under negotiation largely exceed spatial and vegetation coverage targets;
- + Considerable capacity building delivered, both to communities and local and provincial institutions;
- Conclusion of new co-management agreements not realized, mostly for reasons beyond the control of project, e.g., legal constraints;
- Capacities of representative community forums and micro-enterprises remain generally low;
- Delays in beginning of project and weak exit strategy reduce overall effectiveness.

Measuring effectiveness solely by evaluating progress toward the indicator targets would yield an undeserving unfavourable result, as the logical results framework was rather ambitious and because there were no adjustments made to the framework after limiting circumstances, such as persistent legal constraints, became apparent.

An analysis of progress made toward the indicator targets set out in the logical results framework is compiled in Annex 6, and the results summarized below, also taking into account the challenging circumstances within the Wild Coast.

| | |
|---|----------------------------------|
| Project Objective: | Achievement of Objective: |
| An effective network of protected areas is established on the Wild Coast and provides tested co-management models for replication | Moderately Satisfactory |
| Outcome 1: | Achievement of Outcome 1: |
| Institutional framework and capacity to facilitate co-management systems for protected areas is in place | Satisfactory |
| Outcome 2: | Achievement of Outcome 2: |
| Management effectiveness is enhanced within a rationalized and more representative system of protected areas (Type 1 PAs), operating under co-management agreements with local communities and the private sector | Moderately Satisfactory |
| Outcome 3: | Achievement of Outcome 3: |
| A functioning network of managed resource protected areas (Type 2 PAs) is in place and is being effectively managed in active collaboration with local communities | Moderately Satisfactory |

The amount of community land to include under protected area status negotiated with representative community forums approximates the targets, but by Project closure, there had yet been any of these lands proclaimed. Progress toward proclamation varies among the target communities, e.g., proclamation of approximately 8,000 ha of grassland in Lambasi has been nearly realized, encountering some resistance from a single head-man during the public consultation process.

If the communal lands under negotiation are eventual proclaimed, the percentage of priority vegetation types included in the expanded protected area estate would match or exceed the targets, except for mangrove forests, which the baseline numbers seemed to have been unrealistically high.

As there are no co-management agreements formalized, the targets of increased economic returns and employment returns as a result of inclusion of communal land into the protected area estate cannot be assessed. The Project did demonstrate through temporary, participatory management arrangements that management can be realized economically and effectively. Regarding establishment of micro-enterprises, the Project sponsored skills training for some community members and funded some basic supplies, e.g., for bee-keeping, but these activities started rather late, more or less in the last year of implementation, and there was insufficient time to sufficiently strengthen local capacities.

The capacities of staff members of the ECPTA has mostly increased over the course of the Project, partly due to direct contributions from the Project, e.g., training of 80 community members who were later hired as reserve guards, hiring of the Project Community Liaison Officer as the ECPTA Peoples and Parks Manager, procurement of patrol boats, etc. There remains a relatively high turnover at the level of reserve manager, and this diminishes overall management effectiveness, due to the inconsistency and loss of local knowledge.

3.3.2. Relevance

Relevance is rated as: Relevant

The Project is relevant across a wide spectrum of criteria. Firstly, the legislative framework for participatory/co-management of protected areas is stipulated in several laws, including the National Forests Act 84 of 1998, the Protected Areas Act 57 of 2003, and the Eastern Cape Parks and Tourism Agency Act 2 of 2010. The issue of land settlement has been high on the agenda in South Africa for the past 20 years, and based on the Restitution of Land Rights Act 22 of 1994, also relevant to the Project is the Communal Property Association Act 28 of 1996.

The objective of the Project is also closely in line with South Africa's National Biodiversity Strategy and Action Plan (NBSAP), 2005, particularly:

- **Outcome 3.1** National initiatives to manage terrestrial and aquatic ecosystems are coordinated, developed and implemented with full stakeholder participation to contribute to sustainable socio-economic development; and
- **Outcome 4.1** An equitable access, rights and responsibilities regime promotes sustainable use of biological resources.

Furthermore, the Project remains aligned with the strategic objectives of set out in the GEF-5 Biodiversity Strategy, including:

- **Outcome 2.1:** Increase in sustainably managed landscapes and seascapes that integrate biodiversity conservation;

- **Outcome 2.2:** Measures to conserve and sustainably use biodiversity incorporated in policy and regulatory frameworks; and
- **Outcome 2.3:** Improved management frameworks to prevent, control and manage invasive alien species.

Also, the Project is relevant with respect to the Strategic Cooperation Framework 2013-2017, between the Government of South Africa and the United Nations, specifically with respect sustainable development, i.e., Key Result Area 2: Government integrates sustainable development approaches into policies aimed at reducing poverty and promoting equitable socio-economic development.

3.3.3. Efficiency

Efficiency is rated as: Moderately Satisfactory

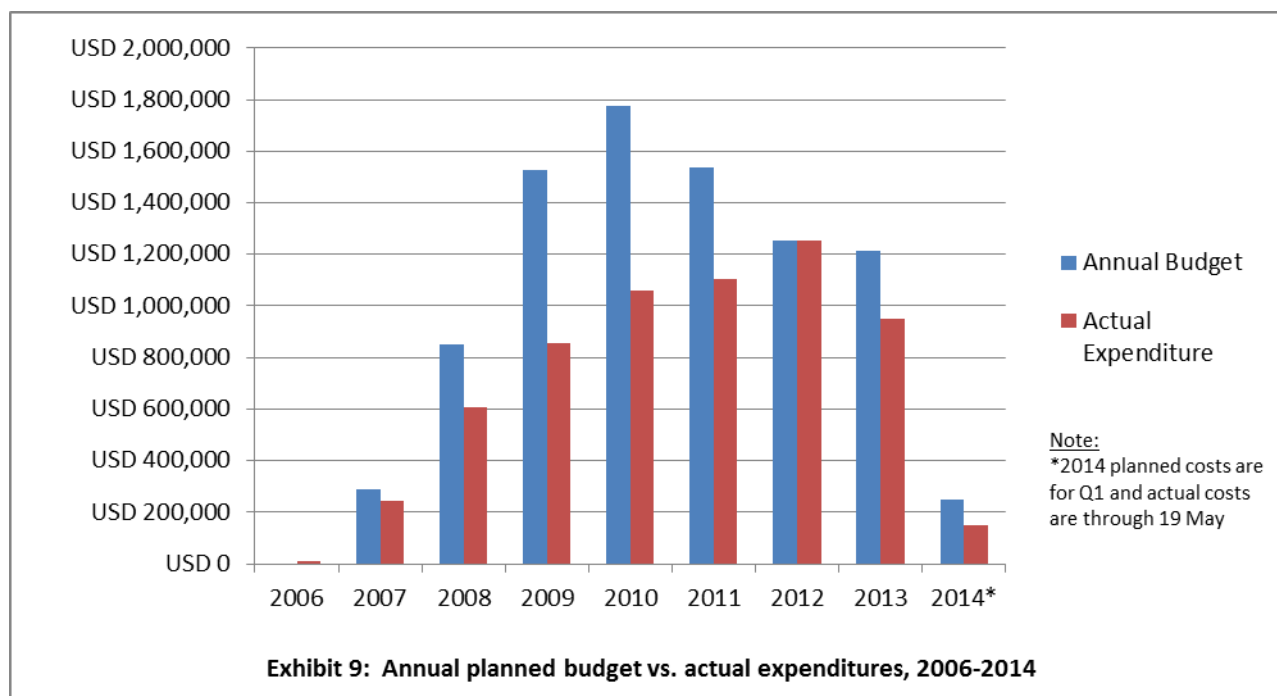
Supporting Evidence:

- + Compliance with incremental cost criteria (project design). Although legislative framework is in place for co-management of PA's, implementation has been slow in the country;
- + Strong project financial controls maintained;
- + Co-financing from ECPTA and DEA exceeded plan;
- Co-financing weakly integrated into overall project.
- Co-financing sums fell short of commitments: approx. 72% of the pledged USD 23.318 million materialized;
- Delays and low productivity during the first 2 years, when two different Project Coordinators resigned, impacted overall efficiency.

Participatory and co-management of protected areas are stipulated in the National Forests Act 84 of 1998 and the Protected Areas Act 57 of 2003, respectively, but there continues to be very few actual cases of communal management implemented. In this regard, compliance with incremental cost criteria for the GEF funding is considered fulfilled, with respect to Project design.

Co-financing from ECPTA and DEA exceeded amounts committed in the approved Project proposal, but overall, co-financing was not well collaborated or integrated between the funding institutions and the Project. Overall, approximately 72% of the pledged USD 24.318 million of co-financing materialized, with lower than expected contributions from DAFF, the USD 10 million envisioned from the DBSA was not realized.

The Project had more than one no-cost time extension, shifting from an original end date of December 2013 to June 2014, although effectively operations wound down in autumn of 2013. One reason behind the time extensions was delay in getting the implementation activities off the ground. There were two different Project Coordinators in the first 2 years of the Project (2006-08), and very little progress was made in this time period. As seen below in **Exhibit 9**, delivery (ratio of planned to actual expenditure) was approximately 60% in the years 2009 and 2010. Efficiency improved in 2011, when the delivery was 72%, and peaked in 2012, which was also the year when the highest amount of money was spent in a single year. These trends basically reflect the time-consuming efforts required to engage the communities, before practical field implementation could be implemented.



3.3.4. Country Ownership

Based upon the evaluation findings, country ownership is considered to have been moderately satisfactory. The Project concept was closely aligned with national and provincial plans, including the South African National Biodiversity Strategy and Action Plan (NBSAP). There is also evidence of Project outputs being incorporated into development plans; e.g., the DEDEAT Wild Coast Environmental Management Framework, which includes land use maps and guidelines worked out with support from the Project.

Overall, the government has mostly maintained financial commitment to the project; however, allocation of the co-financing from government sources was not coordinated or aligned with Project priorities. Also, involvement of governmental stakeholders was fairly limited and fairly weak with national level ones. Certain stakeholders, particularly, those mandated with socio-economic and land restitution agendas were not actively involved; for example, the District and Local Municipalities, Department of Rural Development & Land Reform, the Land Claims Commission.

3.3.5. Mainstreaming

One of the main strengths of the Project was the support extended to local communities, through demonstrating improved, participatory management of natural resources; engaging them to participate land use planning; improving income generating possibilities, through temporary employment as reserve guards and maintenance staff, and through initiating development of local micro-enterprises; and sponsoring environmental education in primary and secondary schools throughout the Wild Coast.

Although the Project did not have a specific gender objective, there were conscientious efforts to promote gender inclusion. For example, a total of 42 women were trained in sewing, as part of the micro-enterprise development activities. Women were also well-represented on the Project team, including the community liaison officer and 3 of the 6 community outreach officers. Both the UNDP CO Programme Manager for Environment and Energy and the GEF RTA are also women.

Finally, the Project is closely aligned with the UNDP Strategic Cooperation Framework for 2013-2017, specifically Key Result Area 2: Government integrates sustainable development approaches into policies aimed at reducing poverty and promoting equitable socio-economic development.

3.3.6. Sustainability

Sustainability is generally considered to be the likelihood of continued benefits after the project funding ends. Under GEF criteria, each sustainability dimension is critical, so the overall ranking cannot be higher than the lowest one.

Overall, the Sustainability of the project benefits is rated as: Moderately Unlikely

Supporting Evidence:

- + Institutional frameworks strengthened; including the formalized DEDEAT Wild Coast Environmental Management Framework, and the draft ECPTA Policy on Co-Management of Communal Protected Areas;
- + Improved management effectiveness under co-management regime demonstrated, and DEA and DAFF applying lessons learned in other protected areas;
- + Increased community involvement in land use planning;
- + Project Community Liaison Officer hired by ECPTA as Provincial Peoples and Parks Manager;
- + Environmental education programme is being continued, with multi-agency support;
- Capacity of community groups remain generally weak;
- Socio-economic risks are high; unsustainable behaviour relatively quickly returned after Project funding stopped;
- Uncertain ownership by both national and local governmental stakeholders;
- Inter-agency collaboration remains inefficient;
- Unclear funding streams for supporting proposed expanded protected areas.

The Project has contributed to strengthening institutional and community capacities and demonstrated how participatory communal management can improve effectiveness which enhances the likelihood that gains realized will continue after GEF funding runs out. But, there are sustainability concerns across each dimension, and the highest risks are socio-economic ones. The fragile ecosystems throughout the Wild Coast continue to be under pressure from high rates of unemployment, poverty, under-education, etc., compounded by unresolved land settlement claims.

Financial Risks

The Financial Risks dimension of sustainability is rated as: Moderately Likely

The financial risks start with the governmental agencies managing the protected areas, e.g., the DAFF, which has had a moratorium on hiring in place for the past three years, and it is evident in the how their regional offices are staffing the State forests in the Wild Coast, e.g., at the time of the TE in May 2014, the Manubi forest had only one forest guard on the ground. With these cutbacks, State financing for expanding protected areas seems uncertain. Significant capital expenditure, e.g., for roads, fencing, facilities, will be required for proclaiming enlarged protected areas among these rural communities, and the community associations have limited funding sources for supporting operation of protected areas, not to mention contributing toward the

infrastructure investments. The private sector can be engaged, indeed there is a public private partnership in place at the Mkambathi reserve, but the State will inevitably need to subsidize expansion and operation costs for some years to come.

Even where there are potential funding sources, such as the possibility of leasing part of the land under question in Silaka from the Department of Defence for use of the airfield and military training grounds there, it will take time to facilitate such arrangements and further strengthen the capacity of community associations. Development of local micro-enterprises to a point where they are generating sufficient income to support the management of the protected areas will take even longer time, considering the generally low capacity and limited enabling infrastructure.

Overall, the financial risks seem more a question of allocation than availability of funds. If a fraction of the the money spent in the Wild Coast on local economic development and social responsibility programme were dedicated to facilitating further advancement of participatory co-management agreements, significant progress could be made.

Socio-Economic Risks

The Socio-Economic Risks dimension of sustainability is rated as: Moderately Unlikely

The Eastern Cape is commonly ranked as the poorest province in South Africa, and indeed, the Human Development Index (HDI), a comparative measure of health, education, and income, measured in terms of life expectancy, literacy and level of education, and GDP per capita, respectively, has been on a downward trend in the province, dropping from 0.582 in 1995 to 0.513 in 2010 (see **Exhibit 10**).

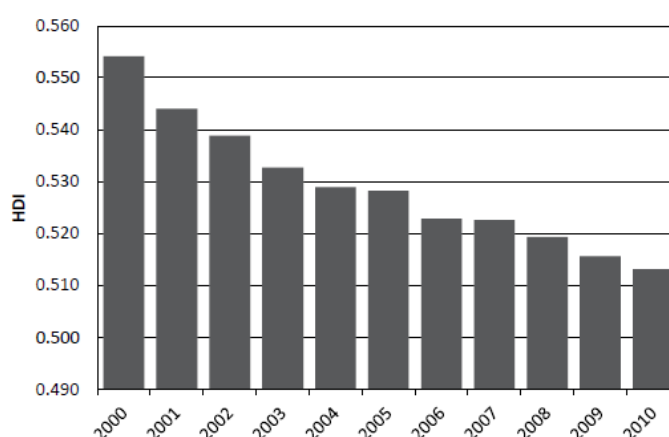


Exhibit 10: Human Development Index (HDI) in the Eastern Cape from 2000 to 2010¹.

Socio-economic risks are even higher in the Wild Coast, which has the highest levels of unemployment and poverty in the province. While the Project demonstrated how management effectiveness can be improved by employing community members to participate in guarding and maintaining nature reserves and State forests, the benefits realized are tenuous. This was evident in the Manubi State forest, where illegal tree cutting and bark harvesting have quickly rebounded, reportedly within a few weeks after the temporary contracts with the community guards and maintenance staff were terminated.

Internal conflicts and power struggles among traditional authorities also deepen the socio-economic risks with regard to realizing sustainable co-management arrangements. This was

¹ Eastern Cape Development Indicators 2012, Eastern Cape Socio Economic Consultative Council (ecsedc), June 2012.

evident in Lambasi, where a single head-man has blocked the process of proclaiming 8000-ha of grassland under protected area status. The local authorities and other governmental agencies are working with the community on resolving this particular dispute, but even if a resolution is found, the representative community property association has not yet received title deeds for the land declared theirs in a settlement agreement dating more than 10 years back, so reaching a co-management agreement will be further delayed until these legal constraints are reconciled.

The environmental education programme sponsored by the Project and being continued in area schools through a joint programme including the ECPTA, Ministry of Education, SANBI, DAFF, Oceans and Coasts, and local municipalities will contribute to long-term mitigation of socio-economic risks in the Wild Coast, but considerable more effort will be needed in the form of legal and developmental assistance to overcome the highly contentious issues surrounding land restitution and equitable access to resources among these impoverished communities.

Institutional Framework and Governance Risks

Institutional Framework / Governance dimension of sustainability is rated as: Moderately Likely

From a national perspective, the institutional framework on biodiversity conservation and community/participatory management of protected areas is sound, and in fact, South Africa has been in the forefront in terms of progressive conservation legislation and strategic planning. Weak inter-agency collaboration and inconsistent alignment of provincial and national priorities, however, affect governance, particularly in the Eastern Cape, which for example, is reportedly the only province in the country where management of indigenous State forests has not yet been transferred from forestry authorities to conservation agencies¹. Compounding these concerns is the legally encumbered process of resolving land settlement claims.

The Project made meaningful contributions to biodiversity institutional frameworks on a provincial level, most notably through supporting the DEDEAT Environmental Management Framework. More effort is required to mainstream conservation issues into municipal planning processes, but this framework provides important regulatory guidance.

With respect to the targeted Project reserves and State forests, the Project did demonstrate how management effectiveness can be improved under communal co-management, but these management structures have not been mainstreamed by the ECPTA or DAFF, partly due to unresolved land settlement issues, e.g., most of the communities still have not received land title deeds, which would enable these agencies to enter formal co-management arrangements.

Environmental Risks

The Environmental Risks dimension of sustainability is rated as: Likely

In terms of environmental risks, there are potential long-term implications to biodiversity due to climate change, possibly particularly on marine fisheries. A recent study by the DEA, concluded that long-term climate change forecasts predict that Wild Coast estuaries will show some shift in mouth state, nutrient supply, salinity distribution and production, but the most significant impacts along these coastal regions will be changes in near-shore temperature, driving range extensions and changes in ecosystem community structure². This study further infers that the most

¹ Information shared during interviews with DEA and DAFF national stakeholders.

² DEA (Department of Environmental Affairs). 2013. Long-Term Adaptation Scenarios Flagship Research Programme (LTAS) for South Africa. Climate Change Implications for Marine Fisheries in South Africa. Pretoria, South Africa.

significant changes will be realised in estuaries of sub-tropical KwaZulu-Natal and the cool temperate Western Cape, and less so along the Wild Coast and south-western Cape.

3.3.7. Catalytic Role

The Project has had noticeable catalytic effects. The hiring by the ECPTA of the Project community liaison officer and eventual promotion to the provincial position of people and parks manager has already yielded scaling up of Project implementation approaches; specifically, the educational programme sponsored by the Project is being continued under ECPTA leadership and has obtained multi-agency support.

There is scaling up within the DAFF on a national level. According to testimonial evidence, the DAFF is using the information demonstrated on the Project regarding the increased management effectiveness under communal participatory arrangements, and now developing a strategy for deploying increased staff for critically important indigenous forests. There has been a hiring moratorium in place within the DAFF over the past 3 years, but after reviewing the Project results, they are considering increasing staff levels at least at critical forests.

DEA representatives explained that they have used the experiences gained on the Project with respect to sustainable livelihoods in designing the Bush Buck Ridge project, also financed with GEF funds.

The recently gazetted DEDEAT Environmental Management Framework has wide-reaching scaling up potential, as the land use guidelines in this framework will influence how development proceeds along the Wild Coast, and particularly within the coastal conservation area (CCA), which is under acute development pressure.

There was no evidence of sharing knowledge products developed on the Project with the National Knowledge Management System housed in SANBI's Collaborative Learning Centre, as outlined in the approved Project document. The Project did not progress far enough to yield sufficient information for a "how to" kit for set-up and implementation of co-management agreements. But, the Project has produced useful information and lessons learned that should be documented into a case-study format and shared with relevant stakeholders.

3.3.8. Impact

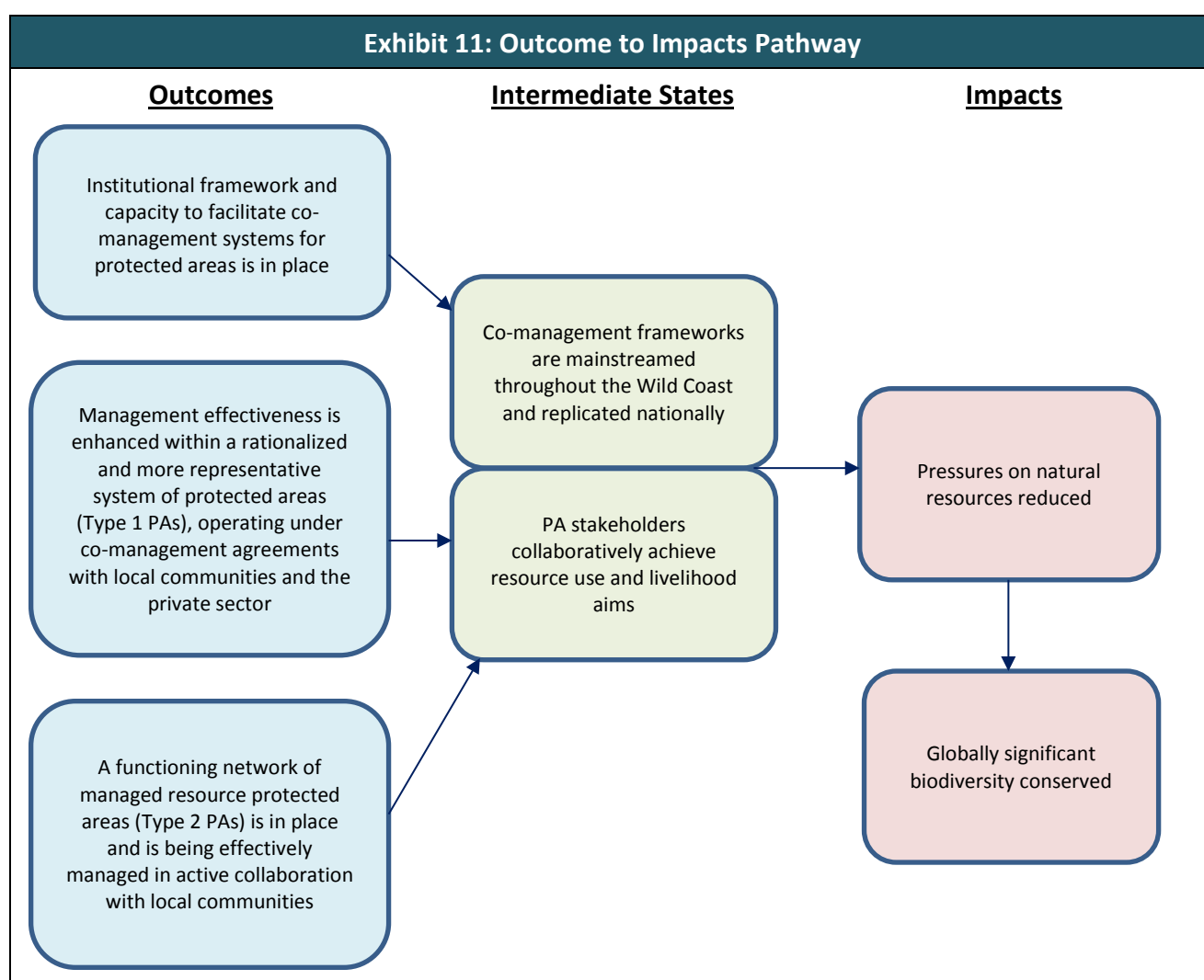
Impact has been evaluated in two different ways, firstly by assessing progress toward the following impact indicators:

| Impact Indicator | Evaluation Comments | Impact Rating |
|---|---|-----------------------------------|
| Verifiable improvements in ecological status | Biodiversity inventories for the target protected areas are fairly weak, and there were no systematic inventories taken following implementation of participatory communal management, with the exception of a multi-disciplinary field study at Manubi carried out in cooperation with the ECPTA Scientific Services Unit and Pennsylvania State University. The timeframes in which the demonstration co-management arrangements were implemented were also too short (12-18 months) to allow for assessment of verifiable improvements in ecological status. | Unable to Assess |
| Verifiable reductions in stress on ecological systems | There is strong anecdotal evidence of reductions in stress on ecological systems during the implementation of the demonstration co-management arrangements. But, | Short-term: Significant |

| Impact Indicator | Evaluation Comments | Impact Rating |
|------------------|--|-------------------------------|
| | <p>monitoring of the demonstration results, e.g., quantifying reductions in illegal tree cutting, bark harvesting, flora and fauna poaching, etc. was limited, and there was limited documented baseline conditions.</p> <p>Based on reports from interviewed reserve and State forest managers, unsustainable and illegal actions in the protected areas have rebounded shortly after the augmented staff supported by the Project completed their temporary assignments.</p> | Overall: Negligible |

Project impact was also assessed using the general guidelines of the Review of Outcomes to Impacts (ROtI¹) method. The ROtI method uses a Theory of Change approach to assess the overall performance of environmental projects.

Upon review of the project design and findings obtained during the final evaluation, an outcome to impact pathway was formulated and presented below in **Exhibit 11**.



The ROtI desk assessment was based on review of project deliverables and other findings obtained as part of the terminal evaluation, and the findings are summarized below in **Exhibit 12**.

¹ The ROtI Handbook, Towards Enhancing the Impact of Environmental Projects, Aug 2009, Global Environmental Facility.

Exhibit 12: Review of Outcome to Impacts

| Outcome | Outcome Rating (A-D) | Intermediate State (IS) | IS Rating (A-D) | Impact | Impact Rating (+) | Overall |
|--|--|---|----------------------------|--|------------------------|---------|
| 1. Institutional framework and capacity to facilitate co-management systems for protected areas is in place | B | Co-management frameworks are mainstreamed throughout the Wild Coast and replicated nationally | D | Pressures on natural resources reduced | | BD |
| 2. Management effectiveness is enhanced within a rationalized and more representative system of protected areas (Type 1 PAs), operating under co-management agreements with local communities and the private sector | | | | | | |
| 3. A functioning network of managed resource protected areas (Type 2 PAs) is in place and is being effectively managed in active collaboration with local communities | | PA stakeholders collaboratively achieve resource use and livelihood aims | | Globally significant biodiversity conserved | | |
| Outcome Rating Justification: The Project made meaningful contributions to an institutional framework for facilitating co-management systems for protected areas; including the draft ECPTA policy on co-management of protected areas, and the gazetted DEDEAT environmental management framework. Capacity among local communities remains weak, and regional conservation agencies seem reluctant to proceed without firm financing commitments. The project was successfully demonstrated how effectiveness of PA management can be improved under participatory communal management arrangements, but largely due to legal constraints surrounding unresolved settlement claims, there was little progress made on operationalizing co-management agreements. | | | | | | |
| Intermediate States Rating Justification: Co-management frameworks are soundly stipulated in South African legislation, but there remain very few cases of actual implementation. Due to low baseline capacities and weak enabling infrastructure, such as water supply and electricity, considerable more efforts are required to facilitate sustainable livelihood schemes, e.g., through development of micro-enterprises. | | | | | | |
| Definitions (extracted from the ROTI Handbook, Aug 2009, GEF): | | | | | | |
| Outcome Rating | Intermediate States Rating | | | Impact Rating | | |
| D: The project’s intended outcomes were not delivered. | D: The conditions necessary to achieve intermediate states are unlikely to be met. | | | Rating “+”: Measurable impacts or threat reduction achieved and documented within the project life-span. | | |
| C: The outcomes delivered were not designed to feed into a continuing process after funding. | C: The conditions necessary to achieve intermediate states are in place, but are unlikely to lead to impact. | | | | | |
| B: The outcomes delivered were designed to feed into a continuing process but with no prior allocation of responsibilities after funding. | B: The conditions necessary to achieve intermediate states are in place and have produced secondary outcomes or impacts, with moderate likelihood that they will progress toward the intended impacts. | | | | | |
| A: The outcomes delivered were designed to feed into a continuing process with specific allocation of responsibilities after funding. | A: The conditions necessary to achieve intermediate states are in place and have produced secondary outcomes or impacts, with high likelihood that they will progress toward the intended impacts. | | | | | |
| Overall Likelihood of Impact Achievement: | | | | | | |
| Highly Likely | Likely | Moderately Likely | Moderately Unlikely | Unlikely | Highly Unlikely | |
| AA BA AB CA BB+ CB+ DA+ DB+ | BB CB DA DB AC+ BC+ | AC BC CC+ DC+ | CC DC AD+ BD+ | AD BD CD+ DD+ | CD DD | |

As outlined above in **Exhibit 12**, the likelihood of impact achievement in the foreseeable future is concluded to be **unlikely**, without continued external support.

Justification of this rating is summarized below.

- ✓ Unresolved legal constraints surrounding land settlement claims continue, 10 years after the Project was conceptualized;
- ✓ Capacity of local communities remain generally low, and no exit strategy was worked into design to support additional capacity building/mentoring after GEF funding ceased;
- ✓ Inter-agency collaboration, both provincially and nationally, is weak; and
- ✓ Financing for management of protected areas has been contracting in recent years, and funding capital expenditures required for expanding reserves in the Wild Coast seems fairly unlikely.

4. CONCLUSIONS, RECOMMENDATIONS, LESSONS, GOOD PRACTICES

4.1. Conclusions

MAJOR ACHIEVEMENTS/STRENGTHS

Strengthened capacity and awareness among target communities

Engagement with the target communities, which is particularly challenging in the Wild Coast where unresolved land claims and lack of trust with administrative authorities permeate the local society, was impressive by the Project team. This engagement included involving the communities in land use planning, demonstrating how they can participate in management of nature reserves and State forests, and identifying potential revenue streams that could possibly offer employment opportunities and income for sustaining communal stewardship of the protected areas.

Formalized environmental management framework with community participation

The Project supported delineation of ecologically sensitive areas in the Wild Coast, particularly within the Coastal Conservation Area, which is particularly under development pressure, and worked with the DEDEAT in documenting these surveys into land use maps, covering a total area of 25,000 ha. The DEDEAT has formalized these plans into the gazetted Environmental Management Framework, which serves as a guide for municipal planners and developers. This support is an important contribution, made even more valuable through the participatory process involving communities in reviewing and eventually concurring with the proposed land use delineations.

Although new co-management agreements were not concluded within the timeframe of the Project, principally due to legal constraints surrounding land settlement claims, the areas under negotiation for expanded PA's largely exceed the spatial and vegetation type goals set out in the Project objective indicator targets.

Demonstrated improved PA management effectiveness under communal participation

The Project trained and employed community members to fill 67 temporary positions as reserve/forest guards and 167 technicians for clearing invasive vegetation from 11 communities, for a period of approximately one year and in some locations 1-1/2 years. There is strong anecdotal evidence that this enhanced, communal management of these protected areas resulted in considerable lower incidences of illegal and unsustainable practices, such as tree cutting, bark

harvesting, and poaching. Indeed, the ECPTA arranged that 80 new hires participate in trainings sponsored by the Project, and the DAFF has used the experience gained in their strategic planning on a national scale. As the DAFF cannot support increasing management expenditures across the board, due to budget constraints, they are considering augmenting forest guards at critical State forests in the country.

Strengthened institutional capacity

The Project started shortly after the ECPTA was formed, and hence the agency was well positioned to benefit from the activities and direct support provided. As 17 of the 21 nature reserves under the ECPTA's jurisdiction are on communal land, co-management arrangements promoted by the Project are of particular importance. Evidence of the agency's commitment with respect to community integration into an expanded PA estate system for the Province is the hiring of the Project community liaison officer as the ECPTA people and parks manager, for the entire Province. Also, the agency has produced a draft policy on co-management of protected areas, using lessons learned from the Project.

There was also direct support, e.g., including 30 field video cameras for enforcement surveillance and biodiversity monitoring, and two patrol boats for management of marine protected areas; the ECPTA had very little staff or resource capacity for managing MPAs. The Project also funded the completion of three estuary management plans, which further strengthens the agency's capacity.

Scaling up of Project-sponsored environmental education programme

The Project was proactive in delivering an environmental education programme among 57 local schools throughout the Wild Coast, and these efforts also included training teachers and sponsoring environmental awareness competitions for the schools. All in all, approximately 6,000 students participated in the programme. The people and parks manager for the ECPTA, the former Project community liaison officer, has taken the initiative to continue this program, and she has garnered multi-stakeholder support, including from the Ministry of Education, ECPTA, municipalities, Oceans and Coasts, etc. If continued, this programme has the potential to influence future decision makers and affect change through enhanced awareness among the youth.

KEY SHORTCOMINGS

Under-estimation of time required to strengthen enabling environment (design shortcoming)

The baseline circumstances outlined by the Project presented a situation where conservation agencies were seriously under-funded, communities lacked capacity and participation in management of protected areas, unsustainable practices among nature reserves and State forests were exacerbated by impoverished socio-economic conditions, and land restitution processes were mired in legal constraints. Strengthening this enabling environment was a big enough challenge, not to mention succeeding in proclaiming expanded protected areas and running these reserves and State forests under participatory management arrangements. The design was highly relevant and contained sufficiently quantifiable indicator targets, but there was simply not enough time allocated for the process of strengthening the enabling environment.

Lack of an exit strategy and weak coordination of co-financing contributions

The Project made considerable advances in building trust among the target communities, but the realized gains are tenuous, e.g., as evidenced by how quickly unsustainable practices rebounded in nature reserves and State forests after employment of the augmented community staff was discontinued. The lack of an exit strategy, compounded by weak coordination of co-financing

contributions, has resulted in a highly uncertain situation at the end of Project. The relevant institutional stakeholders need to realize that some sort of subsidies will be required to support community co-management, both in terms of financing capital expenditures for infrastructure development and in capacity building. To a large extent, the institutional circumstances at Project closure are little changed from baseline conditions, with continued cutbacks in staff and minimal investment in infrastructure improvements. This seems to indicate somewhat of a lack of commitment by governmental stakeholders to contribute to the incremental costs funded through the GEF grant.

Stakeholder involvement was not inclusive enough

The Project design and implementation approach was conservation-centric, which is partly understandable considering that the intervention was funded under the biodiversity focal area. Cultivating community participation in PA management, however, requires involvement by a wider spectrum of stakeholders, e.g., those with socio-economic mandates and, in the case of the Wild Coast and South Africa as a whole, those ones responsible for land rights. The Project team was unable and unprepared, and in fact, not responsible, to facilitate legal resolution of land settlement claims. Similarly, promotion of alternative livelihoods should be coupled with broader socio-economic efforts aimed at alleviating poverty.

Although a national coordination body was envisioned in the Project design, this function did not materialize, and the Project was mostly run with participation of Provincial and regional stakeholders. There was outreach later in the Project's lifespan to national level agencies, but the results might have been enhanced if collaboration between local/provincial and State stakeholders was coordinated throughout the entire implementation phase. Staffing the CASU, in this context, was a bit uneven, with most of the team focused on community and provincial level activities, and rather limited outreach to national stakeholders.

Insufficient resources allocated for monitoring and baseline activities

Baseline information on biodiversity inventories and socio-economic conditions were scarce for the target reserves/forests and communities, and essentially no allocation was made to collect baseline data. The terminal evaluator considers such information imperative with respect to assessing attainment of the Project objective.

Although the available anecdotal evidence was compelling, with respect to the impact of temporary communal participatory management in improving effectiveness of PA management, there was limited quantifiable data compiled. Monitoring of these results was weak. Convincing decision makers to adjust staffing levels or other management arrangements is more easily supported with quantified results.

It might have been prudent to train and assign the community staff to monitoring tasks, as well as performing their enforcement and maintenance duties.

4.2. Recommendations

ACTIONS TO FOLLOW UP OR REINFORCE INITIAL BENEFITS FROM THE PROJECT

Support a facilitator for minimum 2 years to further support advancement of co-management arrangements

As the capacities of the representative community forums remain generally low at Project closure, a facilitator / business manager should be supported for a minimum of 2 years to further assist the target communities in strengthening their capacities and helping them pursue co-

management opportunities and complementary economic activities that were initiated and/or advanced through support from the Project.

The facilitator would also continue engaging potential donors for supporting local communities through, for example, offering potential partners “boutique forest reserves” to supplement their BEE status.

Compile results of improved management effectiveness under communal, co-management

The Project was successful in demonstrating the benefits of protected area management under communal, participatory arrangements, but quantifiable results have not been systematically summarized. The improved management results should be quantified into a case study, providing a useful knowledge product to support the DEDEAT, ECPTA, DEA, DAFF, and other stakeholders.

Organise a joint workshop on local economic development

There are a number of local economic development opportunities sponsored by district and local municipalities that the target communities might not be fully aware of. A joint workshop should be organised with the relevant local economic development departments of the district and local municipalities, along with the representative community forums and the independent facilitator.

Organise a joint workshop on co-management policies and experiences

As a way to improve the dissemination of Project results and lessons learned, organize a workshop among provincial conservation agencies and jointly moderated by national representatives of the DEA and DAFF, focusing on co-management policies and experiences, and environmental education approaches.

Train local community members in biodiversity monitoring

Train community members to assist conservation agencies with biodiversity monitoring. Increased skill in biodiversity monitoring would provide these people a more informed role with respect to participatory management of protected areas, through increasing their knowledge of the ecological resources in their communities, thus enhancing their appreciation for conservation.

Continue efforts to facilitate arrangements between conservation agencies and the communities living near the Dwesa-Cwebe Marine Protected Area (MPA)

The Project demonstrated the importance of finding amenable, “give and take” type arrangements between conservation agencies and local communities, for example, linking marine and coastal forest protection near the Dwesa-Cwebe MPA. Stakeholder facilitation should continue at this area, to attempt to reconcile conservation objectives with livelihoods needs and traditions among local communities.

PROPOSALS FOR FUTURE DIRECTIONS UNDERLINING MAIN OBJECTIVES

Consider biodiversity mainstreaming as a complementary measure

The Wild Coast remains a national priority for communal, participatory management of protected areas, but, as elsewhere in the country, these arrangements have been slow in materializing due to the inefficient stakeholder collaboration and deep-rooted socio-economic factors. Building upon the lessons learned in this intervention, there might be an opportunity to develop a complementary project in the upcoming GEF-6 funding cycle. For example, implementing biodiversity mainstreaming, where biodiversity conservation is integrated across the economic sectors of society, might be a workable approach, rather than expanding the protected area system, for some areas within the Wild Coast.

A multi-sectoral implementation modality might lead to more meaningful stakeholder involvement

Communal, participatory management of protected areas in the Wild Coast cuts across a number of sectors, including biodiversity conservation, local economic development, land rights, etc. Implementation of such a project might be best realized through a multi-sectoral implementation modality, where key stakeholders are given specific implementation roles, e.g., responsible for particular outcomes, and even disbursements might be directly made to each of the implementing partners.

Strong coordination role from national-level stakeholders

Whatever implementation modality is decided upon for facilitating communal, participatory management of protected areas, a much stronger coordination role by key national stakeholders, including the DEA and DAFF, should be ensured.

Assess possibilities for linking Project objectives with large infrastructure developments

It would be advisable to assess possible linkages with some of the large infrastructure developments within the Wild Coast, including the N2 motorway expansion and Umzimvubu Water Basin project. As part of the environmental authorization for the N2 motorway expansion, for example, the developer needs to provide an offset area to make up for estimated losses in biodiversity. Such an offset could possibly be accomplished through expansion of one of the target reserves and/or indigenous State forests. The Umzimvubu project aims to ensure and/or restore ecosystem services throughout the catchment area, and, in turn, strengthening capacity and livelihoods of local communities

More emphasis should be made on collecting supportive baseline information

For interventions where changes to protected area governance are expected, it is imperative to have sufficient biodiversity and socio-economic baseline information, so that changes can be reasonably assessed. Causation evidence is strengthened further if information on reference or comparator populations is also available, i.e., changes in biodiversity or socio-economic conditions might not be due to adjustments made to protected area governance, but rather as a result of exogenous conditions, such as a general improvement in the local or national economy, effects of climate change, etc.

UNDP's experience in human development issues should be better utilized

One of UNDP's strongest comparative advantages is their experience in advocating and advancing human development issues across the globe. As biodiversity conservation in the Wild Coast is deeply intertwined with poverty alleviation objectives of local communities, linkage with complementary UNDP interventions should be better coordinated and implemented.

OPERATIONAL ISSUES

Better utilize the inception phase to sort out project uncertainties

The inception phase should be better utilized to sort out project uncertainties and to define roles and responsibilities of key stakeholders. Also, it is advisable to agree upon co-financing tracking and reporting procedures and responsibilities at the inception phase.

Risk management should be more inclusive among key stakeholders

Responsibility for management of project risks should be spread among key stakeholders, with agreed upon mitigation and reporting procedures. The Steering Committee should take a more

active role in risk management, and mechanisms put in place that ensure follow up on decisions made during committee meetings.

Work programming should be more extensive and be linked to the logical results framework

Projects should be programmed across the entire implementation timeframe, not only year-to-year, and preferably using the critical path methodology. In this way, progress and delays can be clearly communicated to implementing agency and implementing partner managers and to the Project Steering Committee members. And, adjustments to work activities can be more easily implemented, to ensure that sufficient progress is made toward performance targets, including deadlines.

Work programming should also be linked to the targets in the logical results framework; clearly indicating when such targets are expected to be realized and providing a decision-support tool for adjusting project resources accordingly.

UNDP should support project management training

Implementation timeframes are often restricted due to delays in establishing partnership arrangements and recruitment of project teams. This leads to a rushed focus on implementation once the enabling environment is in place, and does not allow for sufficient training and mentoring of the project management team. It would be advisable if the UNDP supported project management training, possibly delivered in parallel with project implementation.

Clear instructions should be communicated for accounting of project management costs

The implementing agency should provide clear instructions to the lead implementing partner and project management team on accounting and reporting project management costs. For example, some members of project management teams are often involved in project activities, and not only project management tasks. On this project, for instance, the community liaison officer, spent much of her time on project activities, working closely with the target communities.

Combined delivery reports should be broken down by project outcome, at a minimum

In order to facilitate financial control, combined delivery reports should be broken down by project outcome, at a minimum.

4.3. Good Practices

Some of the activities and approaches deployed by the project are noteworthy as good practices, including those presented below.

Engaging communities in land use planning and Project oversight

The sustainability of the land use planning efforts, which were formalized into the Wild Coast Environmental Management framework, was significantly enhanced by the participatory process delivered by the Project. Also, members of the representative community forums were invited to make presentations and participate in Project Steering Committee meetings. Large numbers of individuals actively participated in these meetings, allowing them opportunities to make personal contacts with various decision makers but also hone their skills in public consultation.

Hiring a community liaison officer with ties and understanding of the target communities

It proved imperative that the community liaison officer had a deep understanding of the target communities, as she is from the Wild Coast. Local communities were much more willing to listen and collaborate with the Project priorities, through her facilitation and guidance.

Supporting communal co-management on a contract basis, without formal agreements

Participation of community members in the reserve/forest management and maintenance provided tangible results to both the community groups and relevant institutional stakeholders. The Project was proactive in augmenting reserve/forest management with guards and maintenance workers from the communities, even without formal co-management agreements in place.

Developing an environmental education programme

The environmental education programme was very well received among the target communities, and it could yield long-lasting impacts, particularly considering that the ECTPA is continuing to facilitate the programme. Such a formalized legacy could success of the efforts facilitated by the Project.

Utilizing experience and structures developed by other interventions

The Project capitalized on representative community forum structures that were partly formed as part of the GTZ funded participatory natural resource management project in the Wild Coast. Not only was this a good way to promote continuity of community participation, but it also saved time and hence enhanced the overall performance of the Project.

4.4. Lessons Learned

Some lessons learned over the course of the project are summarized below.

Engaging local communities takes a considerable amount of time and the right skills set

The challenges and the time required engaging communities in issues such as land rights, protected area governance, and alternative livelihoods should not be underestimated. As the Project team demonstrated, it is important that staff have a deep understanding of the local context, have experience in community relations, participatory approaches, and gender issues.

Management strategies should be both participatory and adaptive

As experienced on the Project, each of the target communities, even though within the same general area, had unique circumstances impacting the likelihood for securing co-management arrangements. It is important that management strategies are both participatory and adaptive, to address the particular geographic, socio-economic, and cultural issues facing the communities.

Multi-sectoral interventions require multi-sectoral stakeholder involvement

The driving forces of successful participatory management of protected areas are largely socio-economic issues, and stakeholder involvement needs to extend to those stakeholders who are mandated with local economic development, land rights, social services, etc.

The effects of protected areas on human well-being is not straightforward to measure and requires sufficient baseline information

In order to make an informed judgement on how protected area governance can affect human well-being within local communities, information on the situation before the intervention started and also within control or “comparator” populations is imperative. Sufficient budget and staffing should be factored into project design, for example, it might be advisable to have a statistician assist in collection of baseline data and follow up monitoring activities.

Involving local communities into protected area governance can exacerbate tensions within those communities

Whenever there are issues such as land rights or benefit sharing involved within local communities, internal conflicts, such as between traditional leaders can be exacerbated. It is important to involve the relevant stakeholders and train team members on conflict management.

Higher levels of preparedness are required to raise financing for micro-enterprises

Considering the low baseline competences of the local communities, both in terms of alternative livelihood skills and business management, expecting their capacities could be strengthened, viable business opportunities identified, bank-able business plans prepared, and funding raised from financing institutions for development of micro-enterprises within the 5-year timeframe of the Project was unrealistic.

5. ANNEXES

Annex 1: Evaluation Mission Itinerary (4-19 May 2014)

| | |
|-------------------|--|
| Sunday, 4 May | Evaluator arrives to JNB airport, travels to Pretoria by train |
| Monday, 5 May | Pretoria, interviews with DAFF national-level stakeholders |
| Tuesday, 6 May | Pretoria, interviews with DEA national-level stakeholders |
| Wednesday, 7 May | Travel from Pretoria to East London by air Interview Project Coordinator |
| Thursday, 8 May | East London, continue interview/discussions with Project Coordinator East London, interview ECPTA Executive Director of Biodiversity Conservation East London, interview Project Financial Manager East London, interview ECPTA Ecologist |
| Friday, 9 May | East London, |
| Saturday, 10 May | East London, desk review and consolidate findings |
| Sunday, 11 May | East London, desk review and consolidate findings |
| Monday, 12 May | East London, interview provincial DAFF officials East London, interview Project Community Liaison Officer East London, interview DEDEAT Director of Environmental Compliance and Enforcement |
| Tuesday, 13 May | Travel to Manubi Manubi, interview representatives of participatory community forum |
| Wednesday, 14 May | Travel to Silaka Interview representatives of the Silaka community property association (CPA) |
| Thursday, 15 May | Travel to Lambasi Participate in Regulatory Meeting regarding expansion of Lambasi reserve Interview Lambasi CPA members |
| Friday, 16 May | Travel back to East London |
| Saturday, 17 May | East London, desk review and consolidate findings |
| Sunday, 18 May | Travel from East London to JNB by air and onwards to Pretoria via train |
| Monday, 19 May | Pretoria, terminal evaluation debriefing at UNDP CO office Evaluator departs |

Annex 2: List of Persons Interviewed

| Name | Organization | Position |
|----------------------------|---|--|
| Mr. Izak van der Merwe | DAFF, National | Forestry Regulation and Oversight |
| Ms. Tozi Mjaloi | DAFF, National | Director of Woodlands and Indigenous Forest Management |
| Mr. Mashudu Thagwana | DEA, National | Project contact person |
| Mr. Kallie Naudé | DEA, National | Biodiversity Control Officer |
| Mr. Caiphus Ernest Khumalo | DEA, National | Director, Protected Areas Governance |
| Mr. Peter Tyldesley | Project Management Unit | Project Coordinator |
| Mr. Dali Dyonase | Project Management Unit | Financial Manager |
| Ms. Dolly Ganashe | Formerly: Project Management Unit Currently: ECPTA Dolly.ganashe@ecpta.co.za | Project Community Liaison Officer Peoples and Parks Manager, ECPTA (provincial level) |
| Dr. Dave Balfour | ECPTA dave.balfour@ecpta.co.za | Executive Director, Biodiversity Conservation |
| Mr. Jan Venter | ECPTA | Ecologist |
| Mr. Kedama Wclile | DAFF, Regional kedamaw@daff.gov.za | Regional Manager of Indigenous Forests |
| Mr. Wiseman Yako | DAFF, Regional yakow@daff.gov.za | Local Manager of Indigenous Forests |
| Mr. Div Devilliers | Eastern Cape DEDEAT div.devilliers@DEDEAT.ecape.gov.za | Director, Environmental Compliance and Enforcement |
| Mr. Kostauli Mzwabantu | ECPTA mzwabantu.kostauli@ecpta.co.za | Reserve Manager, Eastern Region |
| Mr. Gabula Sizakele | Eastern Cape DEDEAT Sizakele.Gabula@deaet.ecape.gov.za | |
| Ms. Julie Clarke | Development Bank of South Africa JulieC@dbsa.org | |
| Mr. Alan Boyd | DEA aiboyn@environment.gov.za | Director, Biodiversity and Coastal Research |

Annex 3: Summary of Field Visits

May 13, Community Meeting at Manubi Forest Station

10 men, 4 women

PFMC was formed before the Project. A GTZ-funded project started the PFMC in Manubi, also set up oversight depart in DAFF-Pretoria. These structures more or less collapsed after GTZ funding ended, but Project took on the concept.

The main benefit from the Project was the employment of local people to support management of State Forest: 27 people were employed for alien vegetation removal and 12 forest guards, from April 2012 through August 2013.

Trainings: first aid training, for the people employed, using chemicals to kill aliens, about 3 people trained in brush cutting.

Villages around forest: 3 villages, with many sub-villages, more than 3000 households, which depend largely on government grants (pensions and children grants).

Municipality contributed about 5 bee-keeping boxes. Beekeeping needs permit from DAFF, but PFMC cannot because they are not a legal body. Some of the participants indicated that they were unsure when to harvest the honey; capacity seems to be low.

Committee is meeting about 1 per month, agenda items:

- Cut trees, dip, and sell the logs to the community
- Fencing around the forest
- Alien vegetation workers
- Bee-keeping was trained, but they are unsure when to harvest
- Use of bamboo, for baskets, no training yet ...
- Also, would appreciate to have the huts for camps for hikers
- Chickens, buying and selling at market

Regarding expanding the extent of the protected areas, some community members were concerned about safety (animals) and property rights. They stressed that it will be necessary to first demonstrate what can be successful, and then move forward. The participants indicated that some villagers were complaining about not being informed about the expansion. The PFMC was informed, but somehow communication broke down between the community and the PFMC.

Community issues: would like to start farming but lack support, even clearing out the timber requires support, water is a major issue (no boreholes, river is dry in winter, some villages have taps), no medical clinics (up to 60 km), limited agricultural advisory support (1 or 2X per month, dip their livestock) – not enough, also no community hall. One woman is representing the Education Department; she indicated that there is a high drop-out rate in the local schools, largely because of difficult transportation.

May 14, Community Meeting, Representative of the Silaka Community Property Association, near the Silaka Reserve

Nature reserve, near a valuable forest area for expansion, Mt. Thesiger.

The community property association represents 10 villages, having a combined population of approximately 156,000 inhabitants. These villages represent maybe 40% of the entire municipality; there are no other villages in this municipality who have made land claims.

The socio-economic challenges facing this community include:

1. Unemployment. This seems to be by far the main problem. Many men are leaving for mine jobs, and a high amount of youth are idle
2. Water. There is some piped public water supply, but coverage is very limited.
3. Sanitation. Mostly outhouses/latrines
4. Transportation. This is also a major problem. There are no bus services, terrain is very hilly.

The settlement agreement was signed in 2005, and the first CPA formed in 2008, independently from the Wild Coast project. The main benefits of the Wild Coast project have included:

1. Strengthened the capacity of the CPA, through trainings on business skills, computers, etc.
2. Increased the CPA's awareness on their rights under the settlement agreement, and facilitated contact and negotiation with the key institutional stakeholders.
3. Provided jobs for community members. There were 6 ranges and 13 individuals hired for alien species clearance. The process of selecting the people for these positions was made with instruction from the chief and community participation. The chief wanted to make sure that persons from disadvantaged, vulnerable families were selected.
4. The chief indicated that crime rates generally decreased when the community members were hired through the Project. The crime rate has remained lower, but now it seems to be reverting back, as more people are idle.
5. The Project also contributed to increased awareness, e.g., through the environmental education activities. Increased awareness evidence: community complained to Defense about location of shooting range, where shells were being shot into headwaters of the local river/stream – lead poisoning, etc.

The CPA elected new members this year in February. There are 22 members, including 7 executive positions. Among those 22, only 3 were on the committee during the last term. So, there a concern regarding continuity, awareness of the work the Project facilitated.

Peter helped form set up thematic portfolios on the CPA, e.g., tourism, development, coops, etc. ... a couple of people on the committee focused on these themes.

The main shortcomings of the Project:

1. There was no exit strategy in place, assigning roles and responsibilities among State institutions for continuing the work.
2. The outreach officers were not hired by the ECPTA.
3. There was insufficient involvement by the Municipality. This is a big problem for the community. The Municipality has refused to include the CPA in their planning processes, e.g., for their integrated development plan (IDP). There are ward counselors appointed by the Municipality, but these people are not doing their job, in fact, some are adding to the problems, e.g., by grabbing valuable land along the coast. Also, one of the CPA members indicated that the Municipality invested 40 million ZAR last year on beachfront development, and another 60 million ZAR is allocated for this year. The community has no idea how this money is to be spent. Also, the chief explained that the community is very concerned with sharks on beaches; children cannot go to the beach for swimming, and Municipality has failed to consider a shark net, or other control. Also community would like to develop a pool at the coast, no support from municipality. The community approached the Municipality with an idea to rehabilitate a hiking trail; there were objections because of development plans unknown to the community, such as a golf course, housing, etc.
4. The CPA and chief's committee remain under-capacitated, e.g., in terms of office equipment, computers, printer, meeting hall, etc.

The community members indicated that there are some running cooperatives, including agricultural/horticulture, sewing, etc. But many have disbanded, due to poor management, etc.

The community members indicated that they still require further training, e.g., basic book-keeping skills. Also, they realize that they need someone like Peter, to facilitate solving their concerns.

As the issues around the settlement agreement are legal in nature, the evaluator asked the community members if they have sought legal advice to support them. They have a legal advisor at Land Affairs, but if they cannot solve the issue with squatters, they would probably need to turn to a more independent legal advisor.

There is a number of income generating possibilities at the areas covered by the settlement agreement:

- Silaka Reserve: staff employment, income from reserve, e.g., by adding game
- Forest Area, Mt. Thesiger. Peter informed DAFF that the community wants the plantations, and they did not say no. Forest code has the possibility for a participatory management agreement. At a meeting with the Dept of Defense earlier today, three options were indicated: co-use, rent, or sale.
- Dams: These are ecological services. There is probably not a lot of money involved, but important to demonstrate ownership.
- Resorts: There are at least two, including the Mangrove resort.

May 15, Interview with Lambasi CPA members

Mr. Mnyaka Ps, Chariperson

Ms. Mbambe Nb, Secretary

Settlement agreement was signed in 2006, and the CPA established on 2007 Nov 05. The engaged with the WCP in 2009.

There are 7 villages represented by the CPA, and there 2 members from each village on the CPA, plus one non-claimant.

There were 668 families originally included in settlement agreement. There have since been additional ones.

The main benefits gained from the WCP were associated with skills development, training (finance, co-management, communications, etc.). Also, the project hired and trained 6 field rangers and 12 alien vegetation technicians. The project also facilitated improved interaction with the various institutional stakeholders, including the Dept of Land Reform, ECPTA, Municipality, etc.

The community still has no title deeds. The deeds have been promised by the Dept of Rural Development and Land Reform, basically since the time of the settlement agreement in 2006. Another issue that they have recently realized is that the agreement has not been ratified by the court (check with Peter).

The other obstacle, which is the purpose of the meeting today with the authorities, is the issue of dual traditional leadership. CPA did research, approached the Traditional Affairs, and this leader, who is also recognized by the various departments, was designated by Traditional Affairs.

Annex 4: List of Information Reviewed

- Conservation and sustainable use of biodiversity on the South African Wild Coast Project Document
- Quarterly and Annual Project performance Reports
- Project Implementation Review (PIR) Report, 2013 and 2012
- Project Monitoring Evaluation Tracking Tools (METTs)
- Final Project Mid-Term Review Report
- PSC Meeting Minutes: March 2010, June 2011, June 2012, December 2012
- Report to ECPTA Board, May 2013
- Final Report to ECPTA Boards, March 2014
- Lambasi and ECPTA Agreement, 2013 rev2
- Proposed Community Reserve Maps
- Draft Environmental Management Plan for the Wild Coast, Eastern Cape Provincial Depart of Economic Development, Environmental Affairs, and Tourism, Sep 2013
- Combined Delivery Reports: 2006, 2007, 2008, 2009, 2010, 2011, 2012, 2013, 2014 (May)
- Independent Project Financial Audit Reports: 2007, 2008, 2009, 2010, 2011, 2012, 2013
- Detailed Project Expenditure Reports
- Project Asset Register
- Environmental education, thematic training materials
- The 25th Pondoland Marine Protected Area (MPA) boat-based fish monitoring field trip report, Oceanographic Research Institute, April 2012
- Back-to-Office-Report (BTOR), UNDP GEF-RTA, 22-26 March 2010
- Results-Oriented Annual Report (ROAR), UNDP, 2013
- Co-Management Agreement, between Ministry of Agriculture and Land Affairs – and – Ministry of Water Affairs and Forestry – and – Member of the Executive Council for Economic Affairs, Environment and Tourism, Easter Cape Province – and Member of the Executive Council for the Agriculture and Land Affairs, Eastern Cape Province – and Member of the Executive Council for Public Works, Eastern Cape Province – and Eastern Cape Parks Board – Mayor for the Port St Johns Local Municipality – and The Caguba Community Land Trust, Sep 2006
- Media Release, Commission on Restitution of Land Rights, Nov 2006
- Settlement Agreement, Magwa Communities (Lambasi, Ntlavukazi, and Mandebeleni), Nov 2006
- ECPTA, Policy on Co-Management of Communal Protected Areas, August 2013
- ECPTA, Subsidiary Management Plan for Natural Resource Use at Dwesa-Cwebe Nature Reserve, January 2012
- Protected Areas Act 57, 2003
- Forestry Act, 1998
- Eastern Cape Parks and Tourism Agency Act 2 of 2010
- Restitution of Land Rights Act 22 of 1994
- Interim Protection of Informal Land Rights Act 31 of 1996
- Land Administration Act 2 of 1995
- Communal Property Association Act 28 of 1996

Annex 5: Evaluation Matrix

| Evaluation Criteria Questions | Indicators | Sources | Methodology |
|---|------------|---------|-------------|
| Relevance: How does the Project relate to the main objectives of the GEF focal area, and to the environment and development priorities at the local, regional and national levels? | | | |
| Has the management effectiveness of the Wild Coast protected areas improved as a result of co-management? | | | |
| Have high priority areas targeted for protected area expansion in the Wild Coast been incorporated into protected areas under different co-management arrangements? | | | |
| Has the socio-economic conditions of local communities improved as a consequence of the co-management of protected areas? | | | |
| Effectiveness: To what extent have the expected outcomes and objectives of the Project been achieved? | | | |
| Has the institutional capacity (including regulatory, knowledge, skills, funding, equipment, etc.) to administer co-management arrangements in protected areas been improved in the responsible public institutions? | | | |
| Has the collective capacity of communal landowners (including awareness, skills, knowledge, access to resources, technical and professional support, etc.) to participate as equal partners in co-management arrangements in protected areas been improved? | | | |
| Are functional co-management agreements and co-operative governance structures in place to guide and direct the ongoing implementation of co-management agreements in protected areas? | | | |
| Do both the protected area agencies, the affected communities and the public sector acknowledge the value and benefits of collaborating under co-management arrangements in the planning and management of protected areas? | | | |
| Efficiency: Was the Project implemented efficiently, in-line with international and national norms and standards? | | | |
| Were the funds administered cost-effectively and in accordance with the requirements of the Public Finance Management Act? | | | |
| Is there a database of project information (spatial data, reports, training records, minutes, minutes of meetings, M&E reports, maps, etc.) being maintained and updated by the project? | | | |

| Evaluation Criteria Questions | Indicators | Sources | Methodology |
|--|--|---|---------------------------------------|
| Have the project partners and co-financing institutions actively participated in and supported the project activities? | | | |
| Has the project closely aligned its activities with the national, provincial and local strategies and programs (e.g. NPAES, ECPAES, IDPs of local municipalities, national norms and standards -co-management, conservation stewardship, protected area planning, etc.)? | | | |
| Country Ownership: | | | |
| Are project outcomes contributing to national and local development plans and priorities? | Plans and policies incorporating initiatives | Government approved plans and policies | Desk review, interviews |
| Were the relevant country representatives from government and civil society involved in the Project? | Effective stakeholder involvement | Meeting minutes, reports | Desk review, interviews, field visits |
| Did the recipient government maintain its financial commitment to the Project? | Committed co-financing realized | Audit reports, project accounting records, PIRs | Desk review, interviews |
| Has the governments approved policies or regulatory frameworks in line with the Project objective? | Plans and policies incorporating initiatives | Government approved plans and policies | Desk review, interviews |
| Sustainability: What are the financial, institutional, social-economic, and/or environmental risks to sustaining long-term Project results? | | | |
| To what extent will the responsible public institutions continue to have the political will, capacity and resources to maintain the co-management arrangements initiated by the project? | | | |
| How secure is the long-term conservation tenure of the different categories of co-managed protected areas? | | | |
| What is the likelihood of alternative land use pressures (with higher socio-economic returns to local communities) preventing the further expansion of the protected area estate under co- management arrangements? | | | |
| Can the community goodwill towards conservation be sustained beyond the project? | | | |
| Are there social or political risks that may threaten the sustainability of Project outcomes? | | | |

| Evaluation Criteria Questions | Indicators | Sources | Methodology |
|--|---|--|-------------------------|
| Are there ongoing activities that pose an environmental threat to the sustainability of Project outcomes? | | | |
| Impact: Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status? | | | |
| Have the pressures of unsustainable land use practices - and the associated loss of biodiversity - in the priority areas targeted for expansion of the PA network been reversed (or at least not increased since project inception)? | | | |
| Has the management of the existing protected areas resulted in a significant improvement in the status of biodiversity in these areas (e.g. fire management, IAS control, control over illegal poaching and harvesting of natural resources, fencing, etc.)? | | | |
| Stakeholder Involvement: | | | |
| Did the Project consult with and make use of the skills, experience, and knowledge of the appropriate government entities, NGOs, community groups, private sector entities, local governments, and academic institutions? | | | |
| Were the relevant vulnerable groups and powerful supporters and opponents of the processes properly involved? | | | |
| Did the Project seek participation from stakeholders in (1) project design, (2) implementation, and (3) monitoring & evaluation? | | | |
| Catalytic Role: | | | |
| Explain how the Project has had a catalytic or replication effect in the country and/or region. | Reference by other projects, programs | Interview records, project fact sheets | Desk review, interviews |
| Synergy with Other Projects/Programs | | | |
| Explain how synergies with other projects/programs were incorporated in the design and/or implementation of the project. | Reference to other projects/programs | Plans, reports, meeting minutes | Desk review, interviews |
| Preparation and Readiness | | | |
| Were the Project objective and components clear, practicable, and feasible within its time frame? | Project efficiency, stakeholder involvement | Logical results framework | Desk review, interviews |
| Were the capacities of the executing institution(s) and its counterparts properly considered when the Project was designed? | Project efficiency and effectiveness | Progress reports, audit results | Desk review, interviews |

| Evaluation Criteria Questions | Indicators | Sources | Methodology |
|--|--------------------------------------|--|---------------------------------------|
| Were the partnership arrangements properly identified and roles and responsibilities negotiated prior to Project approval? | Project effectiveness | Memorandums of understanding, agreements | Desk review, interviews |
| Were counterpart resources, enabling legislation, and adequate project management arrangements in place at Project entry? | Project efficiency and effectiveness | Interview records, progress reports | Desk review, interviews, field visits |
| Financial Planning | | | |
| Did the project have the appropriate financial controls, including reporting and planning, that allowed management to make informed decisions regarding the budget and allowed for timely flow of funds? | Project efficiency | Audit reports, project accounting records, level of attainment of project outcomes | Desk review, interviews |
| Was there due diligence in the management of funds and financial audits? | Project efficiency | Audit reports, project accounting records | Desk review, interviews, field visits |
| Did promised co-financing materialize? | Project efficiency | Audit reports, project accounting records | Desk review, interviews |
| Supervision and Backstopping | | | |
| Did GEF Agency staff identify problems in a timely fashion and accurately estimate their seriousness? | Project effectiveness | Progress reports, MTE report, final Project review report | Desk review, interviews |
| Did GEF Agency staff provide quality support and advice to the project, approve modifications in time, and restructure the Project when needed? | Project effectiveness | Progress reports, MTE report, final Project review report | Desk review, interviews |
| Did the GEF Agency provide the right staffing levels, continuity, skill mix, and frequency of field visits for the Project? | Project effectiveness | Progress reports, MTE report, final Project review report, back-to-office reports, internal appraisals | Desk review, interviews, field visits |
| Delays and Project Outcomes and Sustainability | | | |
| If there were delays in project implementation and completion, what were the reasons? | Sustainability of Project outcomes | Progress reports, MTE report, final Project review report | Desk review, interviews |
| Did the delays affect project outcomes and/or sustainability, and, if so, in what ways and through what causal linkages? | Sustainability of Project outcomes | Progress reports, level of attainment of project outcomes | Desk review, interviews |
| Monitoring & Evaluation | | | |
| Did management adequately respond to mid-term review recommendations? | Project effectiveness | Management response, PIRs, final Project review | Desk review, interviews |
| Was there sufficient focus on results-based management? | Project effectiveness | PIRs, MTR report, final Project review | Desk review, interviews |

Annex 6: Matrix for Rating Achievement of Project Objective and Outcomes

The level of achievement of the project objective and outcomes was evaluated by assessing the progress made toward achieving the targets on the indicators set out in the logical results framework. The colour coding indicated under the rating of achievement is explained below:

| | |
|-----|--------------------------------------|
| HS | Highly Satisfactorily achieved |
| S | Satisfactorily achieved |
| MS | Moderately Satisfactorily achieved |
| MU | Moderately Unsatisfactorily achieved |
| U | Unsatisfactorily achieved |
| HU | Highly Unsatisfactorily achieved |
| U/A | Unable to Assess |
| N/A | Not Applicable |

| Objective/Outcomes | Indicator | Baseline | Target | Sources of verification | TE Comments | Rating |
|--|--|------------------------|------------------------|---|--|--------|
| Objective: An effective network of protected areas is established on the Wild Coast and provides tested co-management models for replication | 1. Increase of protected area coverage through strategic additions to the conservation estate: <ul style="list-style-type: none"> Increase in the extent (ha) of provincial protected areas Increase in the extent (ha) of terrestrial managed resource use protected areas By year 3, the provincial protected areas (or equivalent) will increase to 26,000ha while managed resource use protected areas will increase to 56,000ha. By EOP, the terrestrial conservation estate will be increased to 95,000ha. | 14,210 ha 52,116 ha | 32,000 ha 63,000 ha | SANBI annual national and bioregional reports. Provincial Growth and Development Plan annual reports; Eastern Cape Provincial SOE reports; Annual IDP reviews; Annual reports of implementing agencies on Wild Coast (DEAT-MCM, | 1. For Provincial PA's: negotiated and agreement reached with community members but not yet proclaimed 17,774 ha (Mtentu 1,979ha, TRACOR 3,600 ha, Lambasi 7,935ha). Silaka expansion 4,260 ha (Mt Thesiger 2,840ha, Umgazi CCA 320ha, Mngazana 1,100ha). Total : 31, 984 excluding areas still under negotiation. For Indigenous State Forests: Negotiated and agreed 14,200ha (Manubi 2,200ha, Pagela 400ha, Mpame 600ha, Sebeni 5,000 ha, Nqabarha 6,000ha) Total : 66,316 excluding areas still under negotiation | MS |
| 2. Percentage of the priority vegetation types included into the protected area estate as a | | | | | | |

| Objective/Outcomes | Indicator | Baseline | Target | Sources of verification | TE Comments | Rating |
|--------------------|---|-----------------------------------|--|---|---|--------|
| | proportion of the national conservation targets for protected areas: <ul style="list-style-type: none"> Subtropical Estuarine Salt Marshes Transkei Coastal Belt Pondoland-Natal Sandstone Coastal Sourveld Scarp Forest Mangrove Forest By EOP, the priority vegetation types contribute at least 10% of the national conservation targets for protected areas. | 3.2% 1.1% 8% 16.6% 0% | 8% 11% 20% 35% 15% | DEDEAT, ECPB, DWAF, DLA); Minutes of meetings of Wild Coast Steering Committee; Annual Wild Coast Program M&E reports; Minutes of co-management committee meetings | 2. Priority Vegetation Types: WCP(ha) Nat(ha) % * Est. Salt Marshes 141 90 156 * T/kei Coastal Belt 8183 40906 20 * Coastal Sourveld 38134 32587 117 * Scarp Forest 11349 34687 33 * Mangrove Forest 169 3340 5 The formal proclamation process of the proposed PA estate is yet to be finalised. Regarding the mangrove forest, the baseline is considered incorrect, as there is not enough mangrove left to achieve the indicated target. | MS |
| | 3. Compatibility of economic returns (Rands/ha/annum) from the inclusion of communal land into the protected area estate. By EOP, communal land should yield, on average, at least R110/ha per annum (calculated as TEV). | R20/ha | R110/ha/annum ¹ | Total Economic Valuation (TEV) of PA estate | 3. Communal land has not yet been proclaimed into the protected area estate, so such an economic valuation cannot be made. Based upon the experience gained during the demonstration of co-management arrangements, the likelihood of achieving the target of R110/h/annum is high, provided that participatory management arrangements are formalized. | UA |
| | 4. Employment returns from the inclusion of communal land into the protected area estate. By Year 3, the communal land included into the PA estate generates employment levels of at least 11,000 person days/year. | TBD | 32,000 person days/year | | | |
| | 5. Number of local micro-enterprises providing a planning and management support service to the protected area estate. By EOP, 10 new local micro-enterprises have been established and a further 6 continue to provide services | TBD | 10 new enterprises 6 existing enterprises | | 4. Communal land has not yet been proclaimed into the protected area estate, so such a calculation cannot be made. Based upon the experience gained during the demonstration of co-management arrangements, the likelihood of achieving the target of 32,000 person days/year is high, provided that participatory management arrangements are formalized | UA |

¹ Projected financial returns from PA's in the Wild Coast is higher than the estimated return on agriculture (R40-42/ha) and small stock farming.

| Objective/Outcomes | Indicator | Baseline | Target | Sources of verification | TE Comments | Rating |
|--|---|--|--|---|--|--------|
| | | | | | 5. The Project identified potential sources of alternative livelihoods, and delivered training and some basic supplies to a number of community members. Also, a total 234 community members were trained and hired as temporary, support reserve guards and maintenance staff. The target of establishing new micro-enterprises is considered overly ambitious, considering the low baseline capacities. Also, the Project expended the majority of implementation time on building trust and engaging with the local communities, and there was limited time near the end of the Project to focus on micro-enterprise development. | MU |
| Outcome 1: Institutional framework and capacity to facilitate co-management systems for protected areas is in place. | 1. Percentage of staffing in the eastern region of the ECPB that meet the competence and skills required for the following occupational levels: <ul style="list-style-type: none"> • Level 5: Director Strategic and program based • Level 4: Managerial, Project management and or high level technical • Level 3: Technical Supervisory and/ or mid-level technical • Level 2: Skilled worker, technical functions with some team leadership • Level 1: Laborer, non-technical functions By EOP, greater than 60% of staff in the eastern region of the ECPB meet the required competence and skills standards for PA management. 2. The average score of staff performance evaluations (on a performance rating of 1-5) for the eastern region of the ECPB. By year 3, average staff performance scores will exceed 2.5/5, while by EOP staff performance | 45% 36% 15% 18% 65% TBD | 80% 75% 65% 60% 80% 3/5 | Annual reports of implementing agency; Audited financial reports of implementing agency Organograms and staffing levels of implementing agency; Staff audits of implementing agency; Staff performance evaluations of implementing agency; Training reports for implementing agency. Survey of communal and | 1. At senior management level (ie 4 and 5) the ECPTA has the structure, competency and skills to broker and implement co-management. The management structure includes a CEO, and Executive Directors for Operations, Biodiversity Conservation, Human Resources, Finance and Tourism and Marketing. The People and Parks unit includes a Senior Manager and Regional Managers. A challenge facing the agency is at the Reserve Manager level, ie level 3. As has been noted in the PIR, the turnaround time of some of the reserve managers in the strictly protected PAs in the Wild Coast is possibly too short leading to loss of local knowledge and potential inconsistency which might result in poor management. These | MS |

| Objective/Outcomes | Indicator | Baseline | Target | Sources of verification | TE Comments | Rating |
|--------------------|--|----------------------------|--------------------------|---|--|--------|
| | scores will exceed 3/5. | | | municipal structures (Trusts, CPA's, Administrative authorities, local ward councils, Provincial House of Traditional Leaders, Chiefs, Headman). Public Investment Programme Budgets | circumstances will only be exacerbated should the new proposed PAs negotiated by the project be mainstreamed into the ECPTA operational framework. At the lower levels, ie 2 and 1 the potential of the ECPTA to co-manage effectively has been enhanced by the internal decision of the Agency to integrate the Outreach Officers into the agency organogram | |
| | 3. Total operational budget for recurrent operational costs: <ul style="list-style-type: none"> Increase (%) of budget amount appropriated for the recurrent operational management costs of the Wild Coast PAs (through development of PA usage/concession fees, new financing mechanisms and more cost-effective HR management) Ratio of HR costs: recurrent operations costs By year 3, the operational budget is increased by 70% and the HR:operations budget is reduced to 70:30. By EOP, the operational budget is increased by 260% and the HR: operations budget reduced to 60:40. | R10.1m/ annum 80:20 | R27m/ annum 60:40 | | 2. The average score for ECPTA staff was 3.0 in 2013. This is a slight improvement on 2012, and may reflect in improved METT scores. A source of concern is the regular turnaround of reserve managers in two of the Wild Coast Nature Reserves, i.e., Dwesa-Cwebe and Hluleka | S |
| | 4. Management Effectiveness of the Wild Coast Program Management Unit % of the funded conservation and sustainable development initiatives that are integrated and aligned with the PGDP, municipal IDP's and the Wild Coast Conservation and Sustainable Development Program. | 0% | 90% | | 3. The total operational budget for the ECPTA is R65,337,000. Of this it is estimated that R21,779,000 is allocated to the eastern region. While this does not match the R27m project target, it is a considerable increase on the baseline. Additional funds are injected through government Social Responsibility programmes. For the project period, Mkhambathi received R1.3million for its alien vegetation clearing programme from Working for Water, as well as a R14 million grant for upgrading the reserve roads, Silaka received a R9 million grant for upgrading staff accommodation. Dwesa-Cwebe received a R14million grant for fencing and infrastructure | S |

| Objective/Outcomes | Indicator | Baseline | Target | Sources of verification | TE Comments | Rating |
|---|---|--|--|--|---|--------|
| | | | | | which has been spent. The annual MPA budget for Pondoland is R1.9 million. These inputs raise the annual operational budget for the eastern region above the project target. They also balance the HR:operations ratio to approximately 60:40. | |
| | | | | | 4. The average KPA score for the unit is 66%. ECPTA has hired the Project Community Liaison Officer as manager of the People and Parks Programme, and the agency has indicated that four Outreach Officers will be retained for the four Provincial Nature Reserves. | MS |
| Outcome 2: Management effectiveness is enhanced within a rationalized and more representative system of protected areas (Type 1 PAs), operating under co-management agreements with local communities and the private sector. | <p>1. Increase of Management Effectiveness Tracking Tool (METT) scores for targeted protected areas:</p> <ul style="list-style-type: none"> Dwesa-Cwebe Nature reserve and MPA Mkambati Nature Reserve Hluleka Nature Reserve Silaka Nature Reserve Pondoland MPA <p>By year 3, the METT scores have increased to 59, 60, 54, 60 and 52 respectively.</p> <p>2. Percentage of alien infested areas in a regular, properly funded control and eradication program. By EOP, all IAS within the Type 1 PAs are part of a structured, properly funded and managed control and eradication program.</p> | <p>50</p> <p>44</p> <p>38</p> <p>47</p> <p>25</p> <p>TBD</p> | <p>71</p> <p>74</p> <p>69</p> <p>71</p> <p>60</p> <p>100</p> | <p>Wild Coast Program annual reports</p> <p>Provincial gazetting of PAs</p> <p>Management plans for PAs</p> <p>Annual reports for PAs</p> <p>Annual plans of operations and budgets of PAs</p> <p>Mid-term and final METT analyses for PAs</p> <p>PA monitoring and evaluation program outputs</p> | <p>1. The METT scores reported in 2013 were: Dwesa-Cwebe 54 (60%), Mkhambathi 69 (77%), Hluleka 59 (65%), Silaka 59 (65%), Pondoland MPA 62 (69%) Surprisingly, the Pondoland MPA was the only PA to exceed the METT target score, as this area had the lowest baseline score. All in all, the terminal evaluator considers the progress satisfactory, as there was improvement recorded for each PA, even though community conflicts were rife in some areas. The Mkhambathi is considered the single terrestrial PA with the highest chance of reaching the METT target, as this reserve is under stable management, the community receives 15% of accommodation income, and private sector investment has been</p> | S |

| Objective/Outcomes | Indicator | Baseline | Target | Sources of verification | TE Comments | Rating |
|---|--|----------|-----------|--|---|--------|
| | | | | | secured there. | |
| | | | | | 2. The only structured alien vegetation eradication programme for Type I PA's was in Mkhambathi and Silaka. The Mkhambathi work was funded by the governmental Working for Water programme, and in February 2013 the Project recruited, trained and equipped a community alien vegetation unit for Mkhambathi. The Silaka alien vegetation team was supported by the Project. | MU |
| Outcome 3: A functioning network of managed resource use protected areas (Type 2 PAs) is in place and is being effectively managed in active collaboration with local communities | 1. Extent (ha) of communal land included into managed resource use protected area estate. By year 3, at least 6000ha is included into the PA s estate | 0 | 14,000 ha | Wild Coast Program annual reports | 1. The Project negotiated approximately 25,000 ha of community land to be proclaimed as protected areas. Progress toward proclamation of these areas varies, but at the time of Project closure, there had not yet been any proclaimed. | MU |
| | 2. Number of co-management structures developed, maintained and functional on communal land in the high priority areas. By year 3, three management structures are established, maintained and functioning effectively and by EOP, six are functioning effectively. | 1 | 6 | Annual reports of implementing agencies; Minutes of local communal co-operative governance structures | 2. Co-management arrangements were operated on an interim basis with 10 different representative community forums. By project closure, the co-management arrangements had not yet been formalized. | MU |
| | 3. Increase in METT scores for Type 2 PA's: • State Forests (excluding above PAs) • Coastal Conservation area By year 3, the METT scores are 41 and 45 respectively. | 25 27 | 56 65 | IDP reviews; Mid-term and final METT analyses for PAs | 3. METT scores reported in 2013 were 49 for Indigenous State Forests and the CCA. The scores for the State forests are an average of all forests in the Wild Coast, not just the ones targeted on the Project. The target for | S |
| | 4. Numbers of co-management models for managed | 0 | 2 | | | |

| Objective/Outcomes | Indicator | Baseline | Target | Sources of verification | TE Comments | Rating |
|--------------------|--|----------|--------|-------------------------|--|--------|
| | resource protected developed on communal lands in the Wild Coast replicated in Southern Africa. By EOP, 2 co-management models developed and tested in the Wild Coast are replicated on communal land elsewhere in southern Africa. | | | | the CCA is considered overly ambitious, as governance in this area is complex, with a number of stakeholders having overlapping mandates, and also, there are high development pressures close to the coast. | |
| | | | | | 4. There have been no replications of co-management models developed on this project elsewhere in South Africa. | U |

Annex 7: Evaluation Consultant Code of Conduct Agreement Form

Evaluators:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and: respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/ or oral presentation of study limitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

Evaluation Consultant Agreement Form

Agreement to abide by the Code of Conduct for Evaluation in the UN System

Name of Consultant: James Lenoci

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed in Pretoria on 2014 May 5

Signature:



James Lenoci

Annex 8: Terms of Reference

TERMINAL EVALUATION TERMS OF REFERENCE

INTRODUCTION

In accordance with UNDP and GEF M&E policies and procedures, all full and medium-sized UNDP support GEF financed projects are required to undergo a terminal evaluation upon completion of implementation. These terms of reference (TOR) sets out the expectations for a Terminal Evaluation (TE) of the full-sized project, *Conservation and Sustainable Use of Biodiversity on the South African Wild Coast* (PIMS 1767)

The essentials of the project to be evaluated are as follows:

PROJECT SUMMARY TABLE

| | |
|----------------------------|---|
| Title: | <i>Conservation and Sustainable Use of Biodiversity on the South African Wild Coast</i> |
| GEF Project ID: | 1056 |
| UNDP Project ID: | 1767 |
| Implementing Agency: | United Nations Development Programme |
| Executing Agency: | Eastern Cape Parks and Tourism Agency |
| Project Partners: | National Dept. of Environment Affairs & Tourism (DEAT), Eastern Cape Provincial Dept. of Economic Affairs, Environment & Tourism (DEAET) and Dept. Water Affairs & Forestry (DWAF). |
| Start date: | 29 September, 2006 |
| Projected completion date: | 31 July, 2013 |

| Project Outcomes and outputs | Amount (US\$) | | Total (US\$) |
|---|------------------|-------------------|-------------------|
| | GEF | Co-financing | |
| Outcome 1: Institutional framework and capacity to facilitate co-management systems for PAs is in place. | 2,442,200 | 903,000 | 3,345,200 |
| Outcome 2: Management effectiveness is enhanced within a rationalized and more representative system of protected areas (Type 1 PAs), operating under co-management agreements with local communities and the private sector. | 1,496,000 | 2,470,000 | 3,966,000 |
| Outcome 3: A functioning network of managed resource use protected areas (Type 2 PAs – IUCN category VI) is in place, and is being effectively managed in active collaboration with local communities. | 2,561,800 | 20,945,000 | 23,506,800 |
| Total full project | 6,500,000 | 24,318,000 | 30,818,000 |

OBJECTIVE AND SCOPE

The project was designed to develop a representative PA estate on communally owned land along the Wild Coast of the Eastern Cape Province. These protected areas would be managed under a range of collaborative management (co-management) agreements between Provincial, Local and National authorities, local communities and the private sector, assuited to the management challenges facing different sites.

There are three main intervention areas:

- strengthening the institutional framework for protected areas governance and co-management;
- enhancing management effectiveness within a rationalized and more representative system of protected areas (IUCN management category II and IV – National Park, Provincial Nature Reserves and Marine Protected Area), operating under PA governance and co-management agreements with local communities and the private sector;
- developing a functioning network of effectively managed multiple resource use protected areas (IUCN management category V and VI –Protected Natural Environments and Indigenous State Forests) in active collaboration with local communities.

These interventions would be nested in a land use plan for the Wild Coast that integrates the management of PA's within the regional sustainable development framework. GEF funding would be allocated towards building capacity at the systemic, institutional and individual levels for PA governance and co-management while significant co-financing has been leveraged for accompanying environmental management and community development activities. Collectively, these interventions were expected to provide a paradigm for progressive replication elsewhere in South Africa, with the aim of strengthening the PA system.

The TE will be conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects. The objectives of the evaluation are to assess the achievement of project results, and to draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming.

EVALUATION APPROACH AND METHOD

The evaluator is expected to frame the evaluation effort using the criteria of **relevance, effectiveness, efficiency, sustainability, and impact**. A set of questions covering each of these criteria have been drafted and are included with this TOR (refer to Annex C). The evaluator is expected to amend, complete and submit this matrix as part of an evaluation inception report, and shall include it as an annex to the final report.

The evaluation must provide evidence-based information that is credible, reliable and useful. The evaluator is expected to follow a participatory and consultative approach ensuring close engagement with government counterparts, in particular the GEF operational focal point, UNDP Country Office, project team, UNDP GEF Regional Technical Adviser based in the region and key stakeholders.

The evaluator is expected to conduct a field mission to the Wild Coast, including visiting the following sites:

- *Hluleka NR and MPA*
- *Mkambati NR*
- *Silaka NR*
- *Dwesa-Cwebe NR and MPA*
- *Pondoland MPA*
- *Wild Coast Coastal Conservation Area*
- *Indigenous State Forests*

It will be advisable for the evaluator to also meet with representatives of the following communities living in and around these sites:

- *Mtentu*

- *Mkhambathi*
- *Lambasi*
- *Port St Johns*
- *Umgazana*
- *Mpame*
- *Pagela (Coffee Bay)*
- *Nqabarha*
- *Sebeni*
- *Manubi*

Interviews should also be held with local (Wild Coast) and regional (Eastern Cape) representatives of at least the following organizations:

| Category | Institution/organization | Branch/Directorate/Department |
|---|---|---|
| National government | Department of Rural Development and Land Reform | Land Reform and Administration Commission on the Restitution of Land Rights Spatial Planning and Land Use Management |
| | Department of Environmental Affairs | Biodiversity and Conservation Oceans and Coasts |
| | South African National Biodiversity Institute | |
| | Department of Agriculture, Forestry and Fisheries | Forestry and Natural Resources Management Fisheries Management |
| Provincial (Eastern Cape) government | Department of Economic Development, Environment Affairs and Tourism | Biodiversity Management Coastal Zone Management (OR Tambo; Amathole) Environmental Empowerment Services Environmental Compliance and Enforcement |
| | Eastern Cape Parks and Tourism Agency | |
| | Eastern Cape Development Corporation | Spatial and Rural Projects Enterprise Development Project Development |
| Local government | Amathole District Municipality | Land, Human Settlements and Economic Development Strategic Planning and Management |
| | OR Tambo District Municipality | Ntinga Development Agency |
| | Mbizana, Port St Johns, Nyadeni, Mbashe, Ngquza Hill, Mquma and King Sabata Dalindyebo Local Municipalities | Local Economic Development |
| | | |
| Co-operative governance structures | Mkambati Co-management Committee Dwesa-Cwebe Co-management Committee | |
| Traditional Authorities | Chiefs Headman and Sub-Headman | |
| NGO's and other associated institutions | Save the Wild Coast WESSA TRALSO Conservation International | |
| Funders | Development Bank of South Africa | |

The evaluator will review all relevant sources of information, such as the project document, project reports – including Annual APR/PIR, project budget revisions, midterm review, progress reports, GEF focal area tracking tools, project files, national strategic and legal documents, and any other materials that the evaluator considers useful for this evidence-based assessment. A list of documents that the project team will provide to the evaluator for review is included in [Annex B](#) of this Terms of Reference.

EVALUATION CRITERIA & RATINGS

An assessment of project performance will be carried out, based on expectations set out in the Project Logical Framework/Results Framework (see [Annex A](#)), which provides performance and impact indicators for project implementation along with their corresponding means of verification. The evaluation will at a minimum cover the criteria of: **relevance, effectiveness, efficiency, sustainability and impact**. The completed table must be included in the evaluation executive summary. The obligatory rating scales are included in [Annex D](#).

| Evaluation Ratings: | | | |
|--------------------------------|--------|---|--------|
| 1. Monitoring and Evaluation | rating | 2. IA& EA Execution | rating |
| M&E design at entry | | Quality of UNDP Implementation | |
| M&E Plan Implementation | | Quality of Execution - Executing Agency | |
| Overall quality of M&E | | Overall quality of Implementation / Execution | |
| 3. Assessment of Outcomes | rating | 4. Sustainability | rating |
| Relevance | | Financial resources: | |
| Effectiveness | | Socio-political: | |
| Efficiency | | Institutional framework and governance: | |
| Overall Project Outcome Rating | | Environmental : | |
| | | Overall likelihood of sustainability: | |

PROJECT FINANCE / COFINANCE

The Evaluation will also assess the key financial aspects of the project, including the extent of co-financing planned and realized. Project cost and funding data will be required, including annual expenditures. Variances between planned and actual expenditures will need to be assessed and explained. Results from recent financial audits, as available, should be taken into consideration. The evaluator(s) will receive assistance from the Country Office (CO) and Project Team to obtain financial data in order to complete the co-financing table below, which will be included in the terminal evaluation report.

| Co-financing (type/source) | UNDP own financing (mill. US\$) | | Government (mill. US\$) | | Partner Agency (mill. US\$) | | Total (mill. US\$) | |
|-------------------------------|------------------------------------|--------|----------------------------|--------|--------------------------------|--------|-----------------------|--------|
| | Planned | Actual | Planned | Actual | Planned | Actual | Actual | Actual |
| Grants | | | | | | | | |
| Loans/Concessions | | | | | | | | |
| • In-kind support | | | | | | | | |
| • Other | | | | | | | | |
| Totals | | | | | | | | |

MAINSTREAMING

UNDP supported GEF financed projects are key components in UNDP country programming, as well as regional and global programs. The evaluation will assess the extent to which the project was successfully mainstreamed with other UNDP priorities, including poverty alleviation, improved governance, the prevention and recovery from natural disasters, and gender.

IMPACT

The evaluators will assess the extent to which the project is achieving impacts or progressing towards the achievement of impacts. Key findings that should be brought out in the evaluations include whether the project has demonstrated: a) verifiable improvements in ecological status, b) verifiable reductions in stress on ecological systems, and/or c) demonstrated progress towards these impact achievements.¹

CONCLUSIONS, RECOMMENDATIONS & LESSONS

The evaluation report must include a chapter providing a set of **conclusions, recommendations** and **lessons**.

IMPLEMENTATION ARRANGEMENTS

The principal responsibility for managing this evaluation resides with the UNDP CO in South Africa. The UNDP CO will contract the evaluators and ensure the timely provision of per diems and travel arrangements within the country for the evaluation team. The Project Team will be responsible for liaising with the Evaluators team to set up stakeholder interviews, arrange field visits, coordinate with the Government etc.

EVALUATION TIMEFRAME

The total duration of the evaluation will be 26 days according to the following plan:

| Activity | Timing | Completion Date |
|--------------------------------|------------------------------------|------------------|
| Preparation | 4 days (<i>recommended: 2-4</i>) | 21 October 2013 |
| Evaluation Mission | 15 days (<i>r: 7-15</i>) | 4 November 2013 |
| Draft Evaluation Report | 5 days (<i>r: 5-10</i>) | 13 December 2013 |
| Final Report | 2 days (<i>r: 1-2</i>) | 10 January 2013 |

EVALUATION DELIVERABLES

The evaluation team is expected to deliver the following:

| Deliverable | Content | Timing | Responsibilities |
|---------------------------|--|--|--|
| Inception Report | Evaluator provides clarifications on timing and method | No later than 2 weeks before the evaluation mission. | Evaluator submits to UNDP CO |
| Presentation | Initial Findings | End of evaluation mission | To project management, UNDP CO |
| Draft Final Report | Full report, (per annexed template) with annexes | Within 3 weeks of the evaluation mission | Sent to CO, reviewed by RTA, PCU, GEF OFPs |
| Final Report* | Revised report | Within 1 week of receiving UNDP comments on draft | Sent to CO for uploading to UNDP ERC. |

¹A useful tool for gauging progress to impact is the Review of Outcomes to Impacts (ROtI) method developed by the GEF Evaluation Office: [ROtI Handbook 2009](#)

*When submitting the final evaluation report, the evaluator is required also to provide an 'audit trail', detailing how all received comments have (and have not) been addressed in the final evaluation report.

TEAM COMPOSITION

The evaluation team will be composed of 1 international and 1 counterpart national consultant. The international consultant will be designated the Team Leader and will be responsible for finalizing the report. The consultants must have prior experience in evaluating similar projects. Experience with GEF financed projects is an advantage. The evaluators selected should not have participated in the project preparation and/or implementation and should not have conflict of interest with project related activities.

The Team members must present the following qualifications and experience:

- Minimum 5 years of relevant professional experience
- Knowledge of UNDP and GEF
- Previous experience with results-based monitoring and evaluation methodologies;
- Technical knowledge in the targeted focal area(s)

EVALUATOR ETHICS

Evaluation consultants will be held to the highest ethical standards and are required to sign a Code of Conduct (Annex E) upon acceptance of the assignment. UNDP evaluations are conducted in accordance with the principles outlined in the [UNEG 'Ethical Guidelines for Evaluations'](#)

PAYMENT MODALITIES AND SPECIFICATIONS

| % | Milestone |
|-----|--|
| 10% | At contract signing |
| 50% | Following submission and approval of the 1ST draft terminal evaluation report |
| 40% | Following submission and approval (UNDP-CO and UNDP RTA) of the final terminal evaluation report |

APPLICATION PROCESS

Applicants are requested to apply online (<http://jobs.undp.org>) by 16 September 2013. Individual consultants are invited to submit applications together with their CV for these positions. The application should contain a current and complete CV in English with indication of the e-mail and phone contact. **Shortlisted candidates will be requested to submit a price offer indicating the total cost of the assignment (including daily fee, per diem and travel costs).**

UNDP applies a fair and transparent selection process that will take into account the competencies/skills of the applicants as well as their financial proposals. Qualified women and members of social minorities are encouraged to apply.

ANNEX A: PROJECT LOGICAL FRAMEWORK

| Project Strategy | Objectively verifiable indicators | | | | |
|--|--|-----------------------------------|--------------------------------|---|---|
| Goal: | A representative system of protected areas in priority bioregions is established, effectively managed and contributes to sustainable development. | | | | |
| Project Purpose | Indicator | Baseline | Target | Sources of verification | Risks and Assumptions |
| Objective: An effective network of protected areas is established on the Wild Coast and provides tested co-management models for replication | 1. Increase of protected area coverage through strategic additions to the conservation estate: <ul style="list-style-type: none"> • Increase in the extent (ha) of provincial protected areas • Increase in the extent (ha) of terrestrial managed resource use protected areas By year 3, the provincial protected areas (or equivalent) will increase to 26,000ha while managed resource use protected areas will increase to 56,000ha. By EOP, the terrestrial conservation estate will be increased to 95,000ha. | 14,210 ha 52,116 ha | 32,000 ha 63,000 ha | SANBI annual national and bioregional reports. Provincial Growth and Development Plan annual reports; Eastern Cape Provincial SOE reports; Annual IDP reviews; | There is relative stability in the local economy; Political stability, law and order are maintained; Relationship between national, provincial and local level maintained; |
| | 2. Percentage of the priority vegetation types included into the protected area estate as a proportion of the national conservation targets for protected areas: <ul style="list-style-type: none"> • Subtropical Estuarine Salt Marshes • Transkei Coastal Belt • Pondoland-Natal Sandstone Coastal Sourveld • Scarp Forest • Mangrove Forest By EOP, the priority vegetation types contribute at least 10% of the national conservation targets for protected areas. | 3.2% 1.1% 8% 16.6% 0% | 8% 11% 20% 35% 15% | Annual reports of implementing agencies on Wild Coast (DEAT-MCM, DEAET, ECPB, DWAF, DLA); Minutes of meetings of Wild Coast Steering Committee; | No significant increase in the external pressures on protected areas; Land claims are satisfactorily processed; Communal landowners have legitimate structures (traditional authorities, CPA's, Land Trusts, etc.) to represent their interests |
| | 3. Compatibility of economic returns (Rands/ha/annum) from the inclusion of communal land into the protected area estate. By EOP, communal land should yield, on average, at least R110/ha per annum (calculated as TEV). | R20/ha | R110/ha/annum ² | Annual Wild Coast Program M&E reports; Minutes of co-management committee meetings | The legal and policy environment continue to provide incentives for the continued employment of local micro-enterprises |
| | 4. Employment returns from the inclusion of communal land into the protected area estate. By Year 3, the communal land included into the PA estate | TBD | 32,000 person | Total Economic Valuation (TEV) of PA estate | |

²Projected financial returns from PA's in the Wild Coast is higher than the estimated return on agriculture (R40-42/ha) and small stock farming.

| | <p>generates employment levels of at least 11,000 person days/year.</p> <p>5. Number of local micro-enterprises providing a planning and management support service to the protected area estate. By EOP, 10 new local micro-enterprises have been established and a further 6 continue to provide services</p> | TBD | <p>days/year</p> <p>10 new enterprises 6 existing enterprises</p> | | |
|--|---|---|---|--|--|
| Project Outcomes | Indicator | Baseline | Target | Sources of verification | Risks and Assumptions |
| <p>Outcome 1: Institutional framework and capacity to facilitate co-management systems for protected areas is in place.</p> | <p>1. Percentage of staffing in the eastern region of the ECPB that meet the competence and skills required for the following occupational levels:</p> <ul style="list-style-type: none"> • Level 5: Director Strategic and program based • Level 4: Managerial, Project management and or high level technical • Level 3: Technical Supervisory and/ or mid-level technical • Level 2: Skilled worker, technical functions with some team leadership • Level 1: Laborer , non-technical functions <p>By EOP, greater than 60% of staff in the eastern region of the ECPB meet the required competence and skills standards for PA management.</p> <p>2. The average score of staff performance evaluations (on a performance rating of 1-5) for the eastern region of the ECPB. By year 3, average staff performance scores will exceed 2.5/5, while by EOP staff performance scores will exceed 3/5.</p> <p>3. Total operational budget for recurrent operational costs:</p> <ul style="list-style-type: none"> • Increase (%) of budget amount appropriated for the recurrent operational management costs of the Wild Coast PAs (through development of PA usage/concession fees, new financing mechanisms and more cost-effective HR management) • Ratio of HR costs: recurrent operations costs <p>By year 3, the operational budget is increased by 70% and the HR:operations budget is reduced to 70:30. By EOP, the operational budget is increased by 260% and the HR: operations budget reduced to 60:40.</p> | <p>45% 36%</p> <p>15% 18%</p> <p>65%</p> <p>TBD</p> <p>R10.1m/ annum</p> <p>80:20</p> | <p>80% 75%</p> <p>65% 60%</p> <p>80%</p> <p>3/5</p> <p>R27m/ annum</p> <p>60:40</p> | <p>Annual reports of implementing agency;</p> <p>Audited financial reports of implementing agency</p> <p>Organograms and staffing levels of implementing agency;</p> <p>Staff audits of implementing agency;</p> <p>Staff performance evaluations of implementing agency;</p> <p>Training reports for implementing agency.</p> <p>Survey of communal and municipal structures (Trusts, CPA's, Administrative authorities, local ward councils, Provincial House of Traditional Leaders, Chiefs, Headman).</p> <p>Public Investment</p> | <p>Enabling legal and policy framework supports effective institutional arrangements;</p> <p>Implementing agencies are still able to pay competitive salaries;</p> <p>The spread of HIV Aids is controlled;</p> <p>Income from the ECPB can be re-invested in the protected area network;</p> <p>Implementing agencies continue to maintain a co-operative, collaborative working relationship.</p> <p>Ability to recover operating costs for MPAs from the Marine Living Resources Fund</p> |

| | | | | | |
|---|---|--|--|--|--|
| | <p>4. Management Effectiveness of the Wild Coast Program Management Unit</p> <p>% of the funded conservation and sustainable development initiatives that are integrated and aligned with the PGDP, municipal IDP's and the Wild Coast Conservation and Sustainable Development Program.</p> | 0% | 90% | Programme Budgets | |
| <p>Outcome 2: Management effectiveness is enhanced within a rationalized and more representative system of protected areas (Type 1 PAs), operating under co-management agreements with local communities and the private sector.</p> | <p>1. Increase of Management Effectiveness Tracking Tool (METT) scores for targeted protected areas:</p> <ul style="list-style-type: none"> Dwesa-Cwebe Nature reserve and MPA Mkambati Nature Reserve Hluleka Nature Reserve Silaka Nature Reserve Pondoland MPA <p>By year 3, the METT scores have increased to 59, 60, 54, 60 and 52 respectively.</p> <p>2. Percentage of alien infested areas in a regular, properly funded control and eradication program. By EOP, all IAS within the Type 1 PAs are part of a structured, properly funded and managed control and eradication program.</p> | <p>50</p> <p>44</p> <p>38</p> <p>47</p> <p>25</p> <p>TBD</p> | <p>71</p> <p>74</p> <p>69</p> <p>71</p> <p>60</p> <p>100</p> | <p>Wild Coast Program annual reports</p> <p>Provincial gazettement of PAs</p> <p>Management plans for PAs</p> <p>Annual reports for PAs</p> <p>Annual plans of operations and budgets of PAs</p> <p>Mid-term and final METT analyses for PAs</p> <p>PA monitoring and evaluation program outputs</p> | <p>Institutional capacity and resources deployed to manage protected areas;</p> <p>The transfer of the rights and responsibilities of state land to communities occurs without major problems;</p> <p>Municipalities remained willing to integrate conservation in the local development agenda;</p> <p>Continuous political support for decentralization.</p> |
| <p>Outcome 3: A functioning network of managed resource protected areas (Type 2 PAs) is in place and is being effectively managed in active collaboration with local communities</p> | <p>1. Extent (ha) of communal land included into managed resource use protected area estate. By year 3, at least 6000ha is included into the PA s estate</p> <p>2. Number of co-management structures developed, maintained and functional on communal land in the high priority areas. By year 3, three management structures are established, maintained and functioning effectively and by EOP, six are functioning effectively.</p> <p>3. Increase in METT scores for Type 2 PA's:</p> <ul style="list-style-type: none"> State Forests (excluding above PAs) Coastal Conservation area <p>By year 3, the METT scores are 41 and 45 respectively.</p> | <p>0</p> <p>1</p> <p>25</p> <p>27</p> | <p>14,000 ha</p> <p>6</p> <p>56</p> <p>65</p> | <p>Wild Coast Program annual reports</p> <p>Annual reports of implementing agencies;</p> <p>Minutes of local communal co-operative governance structures</p> <p>IDP reviews;</p> <p>Mid-term and final METT analyses for PAs</p> | <p>Land-use planning systems in place and aligned with conservation priorities;</p> <p>Communal landowners continue to be interested in establishing a form of protected area on their land;</p> <p>Current development pressures can be regulated and controlled;</p> <p>Regulations enabling the implementation of the Communal Land Rights Act are</p> |

| | | | | | |
|--|---|---|---|--|--|
| | 4. Numbers of co-management models for managed resource protected developed on communal lands in the Wild Coast replicated in Southern Africa. By EOP, 2 co-management models developed and tested in the Wild Coast are replicated on communal land elsewhere in southern Africa. | 0 | 2 | | promulgated; Communal landowners have legitimate structures to represent and negotiate their interests. |
|--|---|---|---|--|--|

| Outputs | Activities | Responsibilities |
|---|--|---|
| Output 1.1. Capacity within Eastern Region of the Eastern Cape Parks Board to broker management agreements is strengthened. | Activity 1.1.1. Establish and equip the Co-management Active Support Unit (CASU) composed of: Project Coordinator, Skills Development Facilitator, part-time financial manager (funded by GEF for the duration of the project), community liaison officer (funded by ECPB and DEAT) and administrative assistant (funded by ECPB). The capacity of the CASU will be supplemented by a community outreach team (see Activity 1.8.3), the team members of whom are located within the priority areas; | Eastern Cape Parks Board |
| | Activity 1.1.2. Design a five-year business plan for the CASU; | CASU – Project and Brokering Coordinator |
| | Activity 1.1.3. Conduct a series of highly specialized training courses for CASU and other staff of the Eastern Cape Parks Board (legal issues, fundraising, communication and negotiation skills). | CASU Consultants |
| Output 1.2. Capacity within Eastern Region of the Eastern Cape Parks Board to implement the brokered management agreements. | Activity 1.2.1. Conduct a training needs assessment; | CASU - Skills development facilitator |
| | Activity 1.2.2. Develop and implement a comprehensive training program. | CASU - Skills development facilitator Consultant |
| Output 1.3. Strategic key institutions (municipalities, Land Affairs, etc) have an increased capacity to actively participate in co-management agreements. | Activity 1.3.1. Conduct a training needs assessment; | CASU - Skills development facilitator |
| | Activity 1.3.2. Develop and implement a comprehensive training program; | CASU - Skills development facilitator Consultant |
| | Activity 1.3.3. Integrate conservation needs into IDPs (direct investments on infrastructure and poverty relief into conservation areas). | CASU –Project and Brokering Coordinator, Skills development facilitator |
| Output 1.4. Knowledge management system for establishment and implementation of co-management developed. | Activity 1.4.1. Comprehensive assessment of the effectiveness of co-management arrangements for each protected area based on the review undertaken in the preparation stage; | CASU – Project Coordinator and community liaison officer |
| | Activity 1.4.2. Design and produce a "how to kit" for set-up and manage various types of co-management agreement; | CASU Service Contract |
| | Activity 1.4.3. Conduct a series of stakeholder workshop at local, national and regional level and support secondments, village-to-village exchanges and study tours for ECPB staff, local government and local communities to enable knowledge sharing; | CASU Service Contract |

| Outputs | Activities | Responsibilities |
|--|--|---|
| | Activity 1.4.4. Design a set of guidelines and interventions specific for each type of co-management agreements. | CASU – Project Coordinator and community liaison officer |
| Output 1.5. Norms and standards guiding the co-management of protected areas are produced and adopted by the relevant institutions. | Activity 1.5.1. Develop of norms and standards for co-management of PA in the Wild Coast; | CASU Consultant (Legal) |
| | Activity 1.5.2. Translate the norms and standards in a set of regulations that will guide the implementation of various types of co-management models; | CASU Consultant (Legal) |
| | Activity 1.5.3. Conduct a series of consultations with relevant institutions in Eastern Cape and with other provincial and national agencies in South Africa; | Eastern Region of ECPB CASU – Project Coordinator |
| | Activity 1.5.4. Adopt the regulations by the Eastern Cape Parks Board. | Eastern Region of ECPB CASU – Project Coordinator |
| Output 1.6. Financial mechanism for protected area management in place. | Activity 1.6. 1. In-depth analysis of the potential sources of income identified in the preparation stage; | Eastern Region of ECPB Consultant (Financial) |
| | Activity 1.6.2. Negotiate with relevant institutions to generate income streams and, where required, amend the appropriate regulations/ procedures. | Eastern Region of ECPB; MCM, Consultant (Financial) |
| Output 1.7. Sustainable Resource Use policy is developed. | Activity 1.7.1. Carry out a baseline survey of the existing use in and around protected areas; | Eastern Region of ECPB; Consultant |
| | Activity 1.7.2. Determine the thresholds of potential concerns (TPC) for the heavily utilized and/or impacted marine and terrestrial species; | Eastern Region of ECPB; Consultant |
| | Activity 1.7.3. Develop a policy for harvesting based on the TPCs; | Eastern Region of ECPB; Consultant |
| | Activity 1.7.4 Develop a practical monitoring and evaluation system to assess on an ongoing basis levels of harvesting; | Eastern Region of ECPB; MCM; Consultant |
| | Activity 1.7.5. Develop operational procedures to deal with use that exceeds TPCs. | Eastern Region of ECPB; Consultant |
| Output 1.8. Increased awareness and understanding of key stakeholders about co-management agreements. | Activity 1.8.1. Develop a targeted communication strategy, including a set of tools, around communities living in the priority areas; | CASU - Skills development facilitator and communication consultants |
| | Activity 1.8.2 Design a series of materials translated in all local languages relevant for the priority areas; | CASU - Skills development facilitator and communication consultants |
| | Activity 1.8.3. Develop and train a community outreach team, comprising 6 team members, to implement the communication strategy. | CASU - Skills development facilitator and communication consultants |
| Output 1.9. A comprehensive monitoring and evaluation system designed and operational. | Activity 1.9.1. Design a comprehensive monitoring and evaluation system; | CASU; Service Contract |
| | Activity 1.9.2. Collect and process baseline information; | CASU; Service Contract |
| | Activity 1.9.3. Conduct METT annually in all selected protected areas; | CASU; Service Contract |
| | Activity 1.9.4. Annual stakeholder meetings to inform about the results of the M&E; | CASU |
| | Activity 1.9.5. Independent M&E; | CASU; Service Contract |
| | Activity 1.9.5. Independent Project Audit. | CASU; Service Contract |
| Output 2.1. Local community structures have an increased | Activity 2.1.1. Consultations with the existent community structures in protected areas, identified in the preparation stage, to identify capacity needs to implement the co-management agreements; | CASU - Community liaison officer, Community Outreach Team |

| Outputs | Activities | Responsibilities |
|---|--|---|
| capacity to negotiate management agreements for strict protected areas. | Activity 2.1.2. Contract a service provider to strengthen existing community structures in protected areas; | CASU - Community liaison officer, Community Outreach Team |
| | Activity 2.1.3. Contract a service provider to strengthen and formalize relationships between the protected area institution and local community institutions in priority areas, where this does relationship does not currently exist; | CASU - Community liaison officer, Community Outreach Team Consultants |
| | Activity 2.1.4. Provide relevant training (financial management; legal issues; governance; basic conservation management; negotiation and communication skills) to local community structures. | CASU - Community liaison officer, Community Outreach Team Consultants |
| Output 2.2. Adaptive management planning systems for each strict protected area are established. | Activity 2.2.1. Initial review of the status quo of the provincial nature reserves and Category 1 and 2 MPAs (biological, social and economic); | Eastern Region of ECPB – Regional ecologist and Conservation planner; MCM |
| | Activity 2.2.2. Establishment of small Reserve Management Planning teams composed of the reserve manager, regional conservation planner, regional ecologist, representative of community and, where appropriate, MCM; | Eastern Region of ECPB – Regional ecologist and Conservation planner |
| | Activity 2.2.3. Participatory development the strategic management plan and conservation development framework for the reserve; | Reserve Management Planning Team |
| | Activity 2.2.4. Develop an alien clearing program; | Reserve Management Planning Team |
| | Activity 2.2.5. Prepare the first annual operational plan for each protected area. | Reserve Management Planning Team |
| Output 2.3. Active Management interventions for strict protected areas. | Activity 2.3.1. Implementation of new alien control techniques; | Eastern Region of ECPB; Reserve manager; Specialist service provider |
| | Activity 2.3.2. Evaluating fire management requirements for coastal grasslands; | Eastern Region of ECPB |
| | Activity 2.3.3. Development of a functional knowledge management system | Eastern Region of ECPB; Reserve manager; specialist service provider |
| | Activity 2.3.4 Acquire equipment to enable offshore patrolling of MPA | CASU; MCM |
| Output 2.4. Strict protected areas are expanded into adjacent communal land through co-management agreements | Activity 2.4.1. Prioritize the areas proposed in the preparation stage for consolidation, rationalization and expansion; | CASU; MCM |
| | Activity 2.4.2. Identify and select potential options for consolidation, rationalization and expansion based on ground-truthing of the assessments carried out in the preparation stage; | CASU |
| | Activity 2.4.3. Negotiate the most effective co-management arrangements for the selected options; | CASU |
| | Activity 2.4.4. Develop the legal co-management agreement; | CASU, specialist service provider |
| | Activity 2.4.5. Facilitate the transition of the agreement in the implementation; | CASU |
| | Activity 2.4.6. Prepare amendment to proclamation. | CASU |
| Output 3.1. The management authority for the managed | Activity 3.1.1. Rationalize the management authority for the CCA, MPAs and State Forests with roles and responsibilities clearly defined; | Eastern Region of ECPB – Conservation planner; Specialist Service Providers |

| Outputs | Activities | Responsibilities |
|---|--|---|
| resource use protected areas is rationalized | Activity 3.1.2. Rationalize protected area status; | Eastern Region of ECPB – Conservation planner |
| | Activity 3.1.3. Incorporate the coastal conservation area into provincial enabling legislation; | Eastern Region of ECPB – Conservation planner; specialist service provider |
| | Activity 3.1.4. Develop the legal co-management agreement for managed resource use Pas; | CASU and specialist service provider |
| | Activity 3.1.5. Establish the appropriate co-management structure to manage the PA's. | CASU and specialist service provider |
| | Activity 3.1.6 Analyze the options for, costs and efficacy of, community-based enforcement | CASU and specialist service provider |
| Output 3.2. Local community structures have an increased capacity to negotiate management agreements for strict terrestrial protected areas. | Activity 3.2.1. Consultations with the existing community structures in protected areas, identified in the preparation stage, to identify capacity needs to implement the co-management agreements; | CASU - Community liaison officer, Community Outreach Team |
| | Activity 3.2.2. Contract a service provider to strengthen existing community structures in protected areas; | CASU - Community liaison officer, Community Outreach Team, Service provider |
| | Activity 3.2.3. Contract a service provider to strengthen and formalize relationships between the protected area institution and local community institutions in priority areas, where this does relationship does not currently exist; | CASU - Community liaison officer, Community Outreach Team Consultants |
| | Activity 3.2.4. Provide relevant training (financial management; legal issues; governance; basic conservation management; negotiation and communication skills) to local community structures. | CASU - Community liaison officer, Community Outreach Team Consultants |
| Output 3.3. A cooperative governance structure for the Coastal Conservation Area is established and functional | Activity 3.3.1. Establish a co-operative governance structure for the CCA; | CASU and Consultant |
| | Activity 3.3.2. Update the existing planning framework (i.t.o.the Wild Coast Tourism Development Policy); | Eastern Region of ECPB Consultant; Land Use Planner |
| | Activity 3.3.3. Develop a set of guidelines and tracking tool for processing development applications; | Eastern Region of ECPB Consultant ; Land Use Planner |
| Output 3.4. Adaptive management planning systems for managed resource use protected area are established. | Activity 3.4.1. Development of strategic management plans and conservation development framework for indigenous state forests | Eastern Region of ECPB – Regional ecologist and Conservation planner |
| | Activity 3.4.2. Development of an alien clearing program for state forests and the CCA | Eastern Region of ECPB – Regional ecologist and Conservation planner |
| | Activity 3.4.3. Development of a set of operational guidelines for sustainable use of the natural resources within each type 2 PA | MCM; CASU; Specialist service provider |
| Output 3.5. Active Management interventions for managed resource use protected areas. | Activity 3.5.1. Boundary survey and demarcation of state forests, CCA and MPAs; | Eastern Region of ECPB; Reserve manager; Specialist service provider |
| | Activity 3.5.2. Establishment of a community-led monitoring service in state forests, MPAs and CCA; | Eastern Region of ECPB; MCM |
| | Activity 3.5.3. Implementation of new alien control techniques in state forests and the CCA; | Eastern Region of ECPB; Reserve manager; specialist service provider |

| Outputs | Activities | Responsibilities |
|---|---|--|
| | Activity 3.5.4. Development of a functional knowledge management system; | Eastern Region of ECPB; Reserve manager; specialist service provider |
| | Activity 3.5.5 Rehabilitation of priority state forests. | Eastern Region of ECPB; Reserve manager; specialist service provider |
| Output 3.6. Facilitate the development of the micro-enterprises based on sustainable use of coastal resources. | Activity 3.6.1. Identify potential enterprises based on sustainable use of marine and terrestrial resources; | MCM; Consultant |
| | Activity 3.6.2. Identify interested commercial agencies and opportunities for brokering linkages between them and local communities; | MCM Consultant |
| | Activity 3.6.3. Identify potential local entrepreneurs; | MCM; Consultant |
| | Activity 3.6.4. Training in business and entrepreneurial skills. | MCM; Consultant |
| Output 3.7. Protected areas consolidated into viable management units through co-management agreements | Activity 3.7.1. Prioritize the areas proposed in the preparation stage for connectivity; | CASU |
| | Activity 3.7.2. Identify and select potential options for connectivity based on ground-truthing of the assessments carried out in the preparation stage; | CASU, specialist service provider |
| | Activity 3.7.3. Negotiate the most effective co-management arrangements for the selected options; | CASU, specialist service provider |
| | Activity 3.7.4. Develop the legal co-management agreement; | CASU, specialist service provider |
| | Activity 3.7.5. Establish the most appropriate structure to manage the implementation; | CASU, specialist service provider |
| | Activity 3.7.6. Facilitate the transition of the agreement to implementation; | CASU |
| | Activity 3.7.7. Prepare the amendment to proclamation. | CASU |

ANNEX B: LIST OF DOCUMENTS TO BE REVIEWED BY THE EVALUATORS

Reference Materials:

- ☐ *Conservation and sustainable use of biodiversity on the South African Wild Coast Project Document*
- ☐ *Quarterly and Annual Project performance Reports*
- ☐ *Project Implementation Review (PIR) Report*
- ☐ *Technical and specialist project reports (a full list of reports will be supplied by the Project Manager)*
- ☐ *Project Monitoring Evaluation Tracking Tools (METTs)*
- ☐ *Project M&E Plan*
- ☐ *Final Project Mid-Term Review Report*
- ☐ *UNDP GEF Evaluation Report Format*
- ☐ *UNDP Quality Criteria for Evaluation Report*
- ☐ *Ethical Code of Conduct for Evaluation in UNDP*
- ☐ *Evaluation Policy of UNDP*
- ☐ *Guidance for conducting terminal evaluations of UNDP-supported, GEF-financed projects*
- ☐ *Norms of Evaluation in the UN system*

ANNEX C: EVALUATION QUESTIONS

Note: These are still preliminary questions and are for indicative purposes only. The final questions will only be finalized, in consultation with the Project Manager, at the start of the terminal evaluation.

| Evaluative CriteriaQuestions | | Indicators | Sources | Methodology |
|---|---|------------|---------|-------------|
| Relevance: How does the project relate to the main objectives of the GEF focal area, and to the environment and development priorities at the local, regional and national levels? | | | | |
| | <ul style="list-style-type: none"> Has the management effectivenessof the Wild Coast protected areasimproved as a result of co-management? | • | • | • |
| | <ul style="list-style-type: none"> Have high priority areastargeted for protected area expansionin the Wild Coastbeen incorporated into protected areas under different co-management arrangements | • | • | • |
| | <ul style="list-style-type: none"> Has the socio-economic conditions of local communities improved as a consequence of the co-management of protected areas? | • | • | • |
| Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved? | | | | |
| | <ul style="list-style-type: none"> Has the institutional capacity (including regulatory, knowledge, skills, funding, equipment, etc.) to administer co-management arrangements in protected areas been improved in the responsible public institutions? | • | • | • |
| | <ul style="list-style-type: none"> Has the collective capacity of communal landowners (including awareness, skills, knowledge, access to resources, technical and professional support, etc.) to participate as equal partners in co-management arrangements in protected areas been improved? | • | • | • |

| | | | | |
|--|--|---|---|---|
| | <ul style="list-style-type: none"> Are functional co-management agreements and co-operative governance structures in place to guide and direct the ongoing implementation of co-management agreements in protected areas? | • | • | • |
| | <ul style="list-style-type: none"> Do both the protected area agencies, the affected communities and the public sector acknowledge the value and benefits of collaborating under co-management arrangements in the planning and management of protected areas? | • | • | • |
| Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards? | | | | |
| | <ul style="list-style-type: none"> Were the funds administered cost-effectively and in accordance with the requirements of the Public Finance Management Act? | • | • | • |
| | <ul style="list-style-type: none"> Is there a database of project information (spatial data, reports, training records, minutes, minutes of meetings, M&E reports, maps, etc.) being maintained and updated by the project? | • | • | • |
| | <ul style="list-style-type: none"> Have the project partners and co-financing institutions actively participated in and supported the project activities? | • | • | • |
| | <ul style="list-style-type: none"> Has the project closely aligned its activities with the national, provincial and local strategies and programs (e.g. NPAES, ECPAES, IDPs of local municipalities, national norms and standards -co-management, conservation stewardship, protected area planning, etc.)? | • | • | • |
| Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results? | | | | |
| | <ul style="list-style-type: none"> To what extent will the responsible public institutions continue to have the political will, capacity and resources to maintain the co-management arrangements initiated by the project? | • | • | • |
| | <ul style="list-style-type: none"> How secure is the long-term conservation tenure of | • | • | • |

| | | | | |
|---|--|---|---|---|
| | the different categories of co-managed protected areas? | | | |
| | <ul style="list-style-type: none"> What is the likelihood of alternative land use pressures (with higher socio-economic returns to local communities) preventing the further expansion of the protected area estate under co-management arrangements? | • | • | • |
| | <ul style="list-style-type: none"> Can the community goodwill towards conservation be sustained beyond the project? | • | • | • |
| Impact: Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status? | | | | |
| | <ul style="list-style-type: none"> Have the pressures of unsustainable land use practices - and the associated loss of biodiversity - in the priority areas targeted for expansion of the PA network been reversed (or at least not increased since project inception)? | • | • | • |
| | <ul style="list-style-type: none"> Has the management of the existing protected areas resulted in a significant improvement in the status of biodiversity in these areas (e.g. fire management, IAS control, control over illegal poaching and harvesting of natural resources, fencing, etc.)? | • | • | • |

ANNEX D: RATING SCALES

| | | |
|---|--|---|
| <i>Ratings for Outcomes, Effectiveness, Efficiency, M&E, I&E Execution</i> 6: Highly Satisfactory (HS): no shortcomings 5: Satisfactory (S): minor shortcomings 4: Moderately Satisfactory (MS) 3: Moderately Unsatisfactory (MU): significant shortcomings 2: Unsatisfactory (U): major problems 1: Highly Unsatisfactory (HU): severe problems | <i>Sustainability ratings:</i> 4. Likely (L): negligible risks to sustainability 3. Moderately Likely (ML): moderate risks 2. Moderately Unlikely (MU): significant risks 1. Unlikely (U): severe risks | <i>Relevance ratings</i> 2. Relevant (R) 1.. Not relevant (NR) <i>Impact Ratings:</i> 3. Significant (S) 2. Minimal (M) 1. Negligible (N) |
| <i>Additional ratings where relevant:</i> Not Applicable (N/A) Unable to Assess (U/A) | | |

ANNEX E: EVALUATION CONSULTANT CODE OF CONDUCT AND AGREEMENT FORM

Evaluators:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrong-doing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study limitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

Evaluation Consultant Agreement Form³

Agreement to abide by the Code of Conduct for Evaluation in the UN System

Name of Consultant: _____

Name of Consultancy Organization (where relevant): _____

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed at on

Signature: _____

³ www.unevaluation.org/unegcodeofconduct

ANNEX F: EVALUATION REPORT OUTLINE⁴

- i. Opening page:
 - Title of UNDP supported GEF financed project
 - UNDP and GEF project ID#s.
 - Evaluation time frame and date of evaluation report
 - Region and countries included in the project
 - GEF Operational Program/Strategic Program
 - Implementing Partner and other project partners
 - Evaluation team members
 - Acknowledgements
- ii. Executive Summary
 - Project Summary Table
 - Project Description (brief)
 - Evaluation Rating Table
 - Summary of conclusions, recommendations and lessons
- iii. Acronyms and Abbreviations
(See: UNDP Editorial Manual⁵)
1. Introduction
 - Purpose of the evaluation
 - Scope & Methodology
 - Structure of the evaluation report
2. Project description and development context
 - Project start and duration
 - Problems that the project sought to address
 - Immediate and development objectives of the project
 - Baseline Indicators established
 - Main stakeholders
 - Expected Results
3. Findings
(In addition to a descriptive assessment, all criteria marked with (*) must be rated⁶)
- 3.1 Project Design / Formulation
 - Analysis of LFA/Results Framework (Project logic /strategy; Indicators)
 - Assumptions and Risks
 - Lessons from other relevant projects (e.g., same focal area) incorporated into project design
 - Planned stakeholder participation
 - Replication approach

⁴The Report length should not exceed 40 pages in total (not including annexes).

⁵ UNDP Style Manual, Office of Communications, Partnerships Bureau, updated November 2008

⁶ Using a six-point rating scale: 6: Highly Satisfactory, 5: Satisfactory, 4: Marginally Satisfactory, 3: Marginally Unsatisfactory, 2: Unsatisfactory and 1: Highly Unsatisfactory, see section 3.5, page 37 for ratings explanations.

- UNDP comparative advantage
- Linkages between project and other interventions within the sector
- Management arrangements

3.2 Project Implementation

- Adaptive management (changes to the project design and project outputs during implementation)
- Partnership arrangements (with relevant stakeholders involved in the country/region)
- Feedback from M&E activities used for adaptive management
- Project Finance:
- Monitoring and evaluation: design at entry and implementation (*)
- UNDP and Implementing Partner implementation / execution (*) coordination, and operational issues

3.3 Project Results

- Overall results (attainment of objectives) (*)
- Relevance(*)
- Effectiveness & Efficiency (*)
- Country ownership
- Mainstreaming
- Sustainability (*)
- Impact

4. Conclusions, Recommendations & Lessons

- Corrective actions for the design, implementation, monitoring and evaluation of the project
- Actions to follow up or reinforce initial benefits from the project
- Proposals for future directions underlining main objectives
- Best and worst practices in addressing issues relating to relevance, performance and success

5. Annexes

- ToR
- Itinerary
- List of persons interviewed
- Summary of field visits
- List of documents reviewed
- Evaluation Question Matrix
- Questionnaire used and summary of results
- Evaluation Consultant Agreement Form

ANNEX G: EVALUATION REPORT CLEARANCE FORM

Evaluation Report Reviewed and Cleared by

UNDP Country Office

Name: _____

Signature: _____ Date: _____

UNDP GEF RTA

Name: _____

Signature: _____ Date: _____